

2019 User's Conference

SUNDAY, OCTOBER 27, 2019

| | |
|--------------------|--|
| 12:00 pm – 6:00 pm | Arrivals |
| 6:00 pm – 8:00 pm | Registration – <i>Omni Main Lobby</i> |
| 6:30 pm – 8:00 pm | Welcome Reception – <i>Omni Atrium</i> Join us in the Atrium for a welcome reception featuring drinks and heavy hors d'oeuvres. |

MONDAY, OCTOBER 28, 2019

Location: The Austin Room

| | |
|---------------------|---|
| 8:00 am – 9:00 am | Registration and Breakfast Kick off your day with a power breakfast in the Austin Room and network with other Red Oak users. The registration area will also be open for anyone who did not have the opportunity to register during the welcome reception on Sunday evening. |
| 9:00 am – 10:00 am | Conference Kickoff: Richard Grashel, CTO and Stephen Pope, SVP Business Development This session provides insights into the state of the company, a roadmap for future product developments, implemented enhancement requests and an overview of the Red Oak User's Conference. |
| 10:00 am – 10:45 am | General Session with Keynote Speaker: Johanna Anders, Managing Director, Nuveen Compliance Advancing Compliance and Risk Agendas through AI Johanna will lead this discussion focusing on the evolving regulatory landscape, the future of compliance and emerging AI technology in compliance. |
| 10:45 am – 11:00 am | BREAK |
| 11:00 am – 12:00 pm | Enhanced Reporting Capabilities: Rick Grashel, CTO Join Rick as he discusses reporting functionality, best practices and important KPIs you should be tracking. |
| 12:00 pm – 1:00 pm | Texas Inspired Lunch in the Austin Room |

| | |
|-------------------|--|
| 1:00 pm – 1:50 pm | Session 1: Rules, Visibility Profiles and Document Stamping This session offers best practices for using the Red Oak system. You will learn more about additional features available to help ensure you are getting the most out of the software and continue to increase efficiencies and decrease risk. |
| 1:50 pm – 2:00 pm | BREAK |
| 2:00 pm – 2:50 pm | Session 2: Rules, Visibility Profiles and Document Stamping Learn how data automation can help advance compliance and risk agendas and help pinpoint issues for further examination. |
| 2:50 pm – 3:00 pm | BREAK |
| 3:00 pm – 4:00 pm | Round Table Labs In this session attendees will have the opportunity to participate in a lively discussion working towards identifying potential advertising issues facing firms in this industry. Discussion topics will include: <ul style="list-style-type: none"> • Ensuring your advertising, policies, practices are aligned and compliant • Identifying potential advertising pitfalls and issues • Ensuring all appropriate disclosures/sources to mitigate risk • Exam Prep & Best Practices |
| 4:00 pm – 5:00 pm | General Session Day Closing Join us to summarize key findings and take-aways for the day. |
| 6:15 pm | Meet in Lobby and Walk to Dinner |
| 6:30 pm – 9:00 pm | Dinner – San Jac 300 E. 6th St Austin, TX 78701 Meet us at San Jac for a Texas inspired dinner filled with networking opportunities, great food and live music. |

TUESDAY, OCTOBER 29, 2019

Location: <<ROOM NAME>>

| | |
|---------------------|--|
| 8:00 am – 9:00 am | Breakfast Kick off your last day with breakfast in the Austin Room and network with other Red Oak users. |
| 9:00 am – 10:00 am | General Session with Keynote Speaker: Kristin Chouteau, Senior Director Marketing Supervisory Controls at TIAA |
| 10:00 am – 11:00 am | Beyond Marketing Review, Stephen Pope, SVP Business Development and Cathy Vasilev. SVP Compliance |

Learn more about our expanded usage scenarios including complaints, outside business activities, non-cash compensation, gifts and gratuities and much more.

Obtain practical strategies and guidance for automating the assessment and tracking employee gift, entertainment, and political contributions.

11:00 am – 11:30 am

Breakout Session Discovery
Hear key findings from yesterday's roundtable discussions

11:30 am – 12:00 pm

Conference Closing Remarks

12:00 pm

Departures