

QUESTIONNAIRE

Areas of Interest for Future Presentations

- Advertising
- Agency Cross and Principal Transactions
- AIMR/GIPS & Performance Measurement
- Anti-Money Laundering
- Arbitration and Litigation
- Books & Records, including Optical Storage - Brokers
- Books & Records – Advisers
- Business Continuity Plans
- Canadian Regulations affecting US Brokers & Advisers
- Cash Solicitation and Referral Fees - Advisers
- Conflicts of Interest, Code of Ethics, Gifts
- Continuing Education Programs
- Custody Issues
- Customer Complaints
- Derivatives
- ERISA
- Finders & Referral Fees - Brokers
- Foreign Broker-Dealers & 15a-6
- Form ADV Part II
- Independent Contractors/Remote Locations
- Internet - misconduct and abuses by registered representatives
- Internet - how technology is changing the way we do business
- Massachusetts' Inspections of State Regulated Advisers
- Massachusetts / SEC / NASD Regulatory Update
- Municipal Securities and MSRB
- NASD Inspections of Brokers
- NASD Rules 1017 (membership changes)
- OATS
- Proxy Voting Policies and Practices
- SEC Inspections of Advisers
- Suitability
- Supervisory Procedures
- Trading Desk, Supervision of
- Trading Practices, Best Execution, Aggregation of Orders, Directed Brokerage & Soft Dollars
- Other: _____

Please complete and mail this Questionnaire to NEBDIAA (Attn: Sue DeRoche), P. O. Box 960265, Boston, MA 02196 or email it to Nebdiaa@att.net
