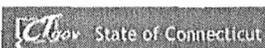


SCREEN SHOTS

PRINT OUT FOR EASY REFERENCE

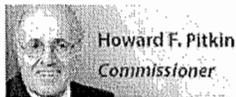


Governor Dannel P. Malloy | Search



CONNECTICUT DEPARTMENT OF BANKING

[Home](#) | [About Us](#) | [Programs & Services](#) | [Forms](#) | [Contact Us](#)



- Verify a License**
- Find a Bank**
- Find a Credit Union**
- Legal Resources**
- Enforcement**
- Newsroom**
- Alerts**
- Helpful Links**

-
-
-
-
-
-



Dec 9, 2011

Free Compliance Workshop for Investment Advisers

The Department of Banking, in cooperation with Sacred Heart University, will hold a free compliance workshop for investment advisers on Friday, December 9, 2011 from 9 a.m. to 12 p.m. at the university's Schine Auditorium in Fairfield, Connecticut.

The workshop will target investment advisers switching from SEC registration to state registration following passage of the Dodd-Frank Wall Street Reform and Consumer Protection Act. Other compliance issues will also be discussed.

You may register online or at the door.

Important: Unless you already have a CT.gov profile (including a User ID and password), you will have to create a profile online to register. Creating a profile is easy. The department cannot create your profile or effect your registration for you.

Please see the [event flyer](#) (pdf) for directions and details.

Location: Sacred Heart University, Schine Auditorium, 5151 Park Avenue, Fairfield, CT

9 AM - 12 PM

Contact: Kathleen Titsworth

Email: kathleen.titsworth@ct.gov

Phone: 860-240-8176

URL: <http://www.ct.gov/dob>

86 of 100 seats still available

Last day to register: 12/8/2011

[Go Back](#)

[DOB Calendar of Events](#)

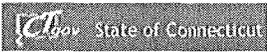
①
click
←

260 Constitution Plaza, Hartford, CT 06103-1800 / Phone: 800-831-7225

[Home](#) | [CT.gov Home](#) | [Send Feedback](#) | [Login](#) | [Register](#)

State of Connecticut [Disclaimer](#), [Privacy Policy](#), and [Web Site Accessibility Policy](#). Copyright © 2002-2011 State of Connecticut.



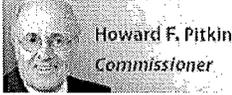


Governor Dannel P. Malloy | Search



CONNECTICUT DEPARTMENT OF BANKING

[Home](#) | [About Us](#) | [Programs & Services](#) | [Forms](#) | [Contact Us](#)



Howard F. Pitkin
Commissioner

- [Verify a License](#)
- [Find a Bank](#)
- [Find a Credit Union](#)
- [Legal Resources](#)
- [Enforcement](#)
- [Newsroom](#)
- [Alerts](#)
- [Helpful Links](#)

Event Calendar

Register for:
Free Compliance Workshop for Investment Advisers
12/9/2011 9 AM - 12 PM

Sorry, you must first log into the system before registering for this event.

②
click

[Calendar Home](#) | [MyEvents](#)

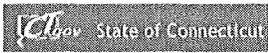
- [News Bulletin](#)
- [Securities Bulletin](#)
- [Check the Calendar](#)
- [Receive Updates by E-mail
Sign-Up for E-alerts](#)
- [Connecticut WEATHER](#)
- [HURRICANE IRENE
Recovery in CT](#)
- [CT Alert
WE CAN'T ALERT YOU...
IF WE CAN'T REACH YOU](#)

260 Constitution Plaza, Hartford, CT 06103-1800 / Phone: 800-831-7225

[Home](#) | [CT.gov Home](#) | [Send Feedback](#) | [Login](#) | [Register](#)

State of Connecticut [Disclaimer](#), [Privacy Policy](#), and [Web Site Accessibility Policy](#). Copyright © 2002-2011 State of Connecticut.



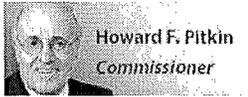


Governor Dannel P. Malloy | Search



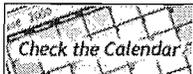
CONNECTICUT DEPARTMENT OF BANKING

[Home](#) | [About Us](#) | [Programs & Services](#) | [Forms](#) | [Contact Us](#)



Site Access

- Verify a License**
- Find a Bank**
- Find a Credit Union**
- Legal Resources**
- Enforcement**
- Newsroom**
- Alerts**
- Helpful Links**



Already have a CT.gov profile? Login below to sign up for E-Alerts or update your profile.

User ID

Password

Don't remember your ID or Password? Retrieve it here!

New to CT.gov? Create a profile using the Register button below.

Only use registration if you have never logged on to a participating CT.gov agency website

System will not allow you to set up another profile with the same E-Mail Address.

Click Here if you don't have a profile

CLICK 3 ←

260 Constitution Plaza, Hartford, CT 06103-1800 / Phone: 800-831-7225

[Home](#) | [CT.gov Home](#) | [Send Feedback](#) | [Login](#) | [Register](#)

State of Connecticut [Disclaimer](#), [Privacy Policy](#), and [Web Site Accessibility Policy](#). Copyright © 2002-2011 State of Connecticut.



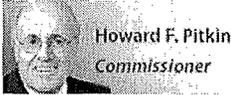


Governor Dannel P. Malloy | Search



CONNECTICUT DEPARTMENT OF BANKING

- Home
- About Us
- Programs & Services
- Forms
- Contact Us



- Verify a License
- Find a Bank
- Find a Credit Union
- Legal Resources
- Enforcement
- Newsroom
- Alerts
- Helpful Links

- News Bulletin
- Securities Bulletin
- Check the Calendar
- Receive Updates by E-mail Sign-Up for E-alerts
- Connecticut WEATHER
- HURRICANE IRENE Recovery In CT
- CT Alert WE CAN'T ALERT YOU... IF WE CAN'T REACH YOU

DOB Subscription Registration

Please fill in the form below to create a profile on the CT.gov portal. If you would like to subscribe to eAlerts you must check the box for "Yes, please list the eAlerts available for this site" at the bottom of the page. Upon "Submit" you will go to another page listing the eAlert choices for this site.

Already have an account? Please [Log in](#) now.

* = Required Field

Name Prefix:

First Name: *

Last Name: *

Name Suffix:

Company:

Title:

Address 1: *

Address 2:

City: *

State: *

Zip Code: *

Phone:

Fax:

Email Address: *

User Category: *

User ID: *

Password: *

Confirm Password: *

4
Complete Fields marked with an asterisk -

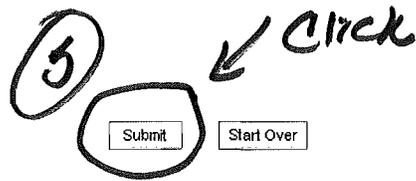
Write down your user ID + password so you remember it next time you log in -

The following question and answer is used to verify your identity if you lose your user id and/or password and request it from the system.

Question: *

Answer: *

Yes, please list the eAlerts available for this site.



260 Constitution Plaza, Hartford, CT 06103-1800 / Phone: 800-831-7225

[Home](#) | [CT.gov Home](#) | [Send Feedback](#) | [Login](#) | [Register](#)

State of Connecticut [Disclaimer](#), [Privacy Policy](#), and [Web Site Accessibility Policy](#). Copyright © 2002-2011 State of Connecticut.



Next screen will list optional E-Alerts. Click through.

You have now set up a profile. Check your e-mail for confirmation.

Next step: Log in using your user ID + password -

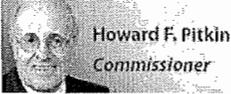


Governor Dannel P. Malloy | Search



CONNECTICUT DEPARTMENT OF BANKING

[Home](#) [About Us](#) [Programs & Services](#) [Forms](#) [Contact Us](#)



Howard F. Pitkin
Commissioner

- [Verify a License](#)
- [Find a Bank](#)
- [Find a Credit Union](#)
- [Legal Resources](#)
- [Enforcement](#)
- [Newsroom](#)
- [Alerts](#)
- [Helpful Links](#)

- [News Bulletin](#)
- [Securities Bulletin](#)
- [Check the Calendar](#)
- [Receive Updates by E-mail Sign-Up for E-alerts](#)
- [Connecticut WEATHER](#)
- [HURRICANE IRENE Recovery in CT](#)
- [CTAlert WE CAN'T ALERT YOU... IF WE CAN'T REACH YOU](#)

Event Calendar

Register for:
Free Compliance Workshop for Investment Advisers
12/9/2011 9 AM - 12 PM

Cynthia Antanaitis Phone:
Fax:
260 Constitution Plaza cynthia.antanaitis@ct.gov
Hartford, CT 06103

Maximum number of seats:	100	Last day to register:	12/8/2011
Number of seats still available:	86	Last day to cancel:	12/8/2011

Special Accommodations: List any special accommodations you require in order to participate in this event:

[Calendar Home](#) | [MyEvents](#)

Handwritten note: Click Register

260 Constitution Plaza, Hartford, CT 06103-1800 / Phone: 800-831-7225

[Home](#) | [CT.gov Home](#) | [Send Feedback](#) | [Logout](#) | [Update](#) | [Admin](#)
State of Connecticut [Disclaimer](#), [Privacy Policy](#), and [Web Site Accessibility Policy](#). Copyright © 2002-2011 State of Connecticut.

