

CONFERENCE REGISTRATION FORM

Ascendant Compliance Conference

For Investment Managers and Private Fund Managers

FAX TO: Sally Cole

AT FAX: 1-860-435-2264

FROM: _____

NAME

FIRM

DATE

1 Pricing *Department Training Discount: Subtract 20% for third and subsequent registrants from same firm*

- BEST REGISTRATION received by November 30, 2011 **SAVE \$500 OFF THE FULL CONFERENCE PRICE!** \$ 1,095.00
- EARLY BIRD REGISTRATION received by January 6, 2012 \$ 1,195.00
- DISCOUNTED REGISTRATION received by February 1, 2012 \$ 1,395.00
- BEST REGISTRATION received After February 1, 2012 \$ 1,595.00
- Pre-Conference Workshops (make your selection below) \$ 295.00
- Conference Workbook (if unable to attend) \$ 195.00

2 Pre-Conference Workshop *Select the one workshop you would like to attend*

- Workshop 1: The Basics of Compliance or Workshop 2: Private Fund Working Group on Form PF

3 Payment Method

- I enclose a company check made out to Ascendant Compliance Management. Please include your registration form when mailing payment. Send your check to: Ascendant Compliance Management, P.O. Box 402, Salisbury, CT 06068.
- I wish to pay by credit card. My details are as follows:

Type of Card (Amex, Visa, etc.)

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4 Delegates **PLEASE USE A SEPARATE FORM FOR EACH DELEGATE FROM YOUR FIRM**

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5 Special Offer Code

Enter any discount code below:

6 Submit Your Registration

FAX YOUR REGISTRATION: 1-860-435-2264

CALL IN YOUR REGISTRATION: 1-860-435-2255 to Sally Cole, Director, Conference + Educational Services

MAIL YOUR REGISTRATION: Ascendant Compliance Management, P.O. Box 402, Salisbury, CT 06068

This intermediate to advanced program will explore in depth each item on the agenda. The goal is to equip compliance professionals with the tools necessary for developing and maintaining the highest standards of business practice management.

THIS CONFERENCE IS DESIGNED FOR: Investment adviser compliance and legal professionals, senior management and operations personnel. A basic understanding and familiarity with the Investment Advisers Act of 1940 and The Securities and Exchange Act of 1934 is considered necessary to participate in the program. **TIMELINESS OF TOPICS:** To ensure that the most current topics are offered at this conference, and that the conference offers the greatest benefit to our attendees, speakers and agenda may be updated. **DIETARY REQUIREMENTS/SPECIAL ASSISTANCE:** Do you have any special dietary requirements or do you need special assistance to fully participate? Please attach a written note of your needs, or call Sally Cole at 1-860-435-2255. **DRESS:** Dress is business casual. **CANCELLATION/REFUND POLICY:** Registration cancellations received before February 5, 2012 will receive a full refund of any registration fee paid, minus an administration fee of \$150. After February 5, 2012 there will be no refunds given, but upon receipt of a written explanation of the cancellation, the registration fee paid will be credited towards a future Ascendant conference or service, valid for one year. Substitutions of delegates can be made at any time before the conference. **QUESTIONS?** Call or email Sally Cole, Director, Conferences + Educational Services: 1-860-435-2255, or scole@ascendantcompliance.com