

### **Webcast: “The Implications and Issues relating to 3PMs being Sponsored by Broker Dealers”**

**Thursday January 29, 2009, 12:00 EST**

Sponsored by:



#### **AGENDA**

- Overview of NAIBD including a Profile of NAIBD’s members and their businesses–  
*Lisa Roth – Chairperson, NAIBD*
- Overview of 3PM including a Profile of 3PM’s Members and their businesses –  
*Donna DiMaria – President, 3PM*
- *Case Study – “A 3PM looking for Broker Dealer Sponsorship” –Stacy Havener – 3PM  
Secretary and Co-Chair of the Events Committee*
- The Compliance, Legal and Regulatory Implications of a 3PMs being Sponsored by  
Broker Dealers – *Micah Taylor – Kinetic Partners*
- What every Broker Dealer needs to know before engaging in a relationship with a  
3PM – *Micah Taylor and Lisa Roth*
- What every 3PM needs to know before engaging in a relationship with a Broker  
Dealer – *Micah Taylor, Donna DiMaria and Stacy Havener*
- Q & A – *All Panelist*