



**Dora**  
Department of Regulatory Agencies

**Division of Securities**  
Fred J. Joseph  
Securities Commissioner

John W. Hickenlooper  
Governor

Barbara J. Kelley  
Executive Director

November 21, 2011

## **The Switch Seminar/Workshop Announcement**

The Dodd-Frank Wall Street Reform and Consumer Protection Act (“Dodd-Frank Act”) that became effective on July 21, 2010 brought significant changes to the regulation and oversight of investment advisers. Among these changes, the Dodd-Frank Act requires states to regulate investment advisers with assets under management up to \$100 million.

Colorado’s Switch Program has been developed to assist the advisers in fulfilling this requirement in an efficient and timely fashion consistent with Colorado’s securities laws and regulations that protect the marketplace and investing public

The Colorado Division of Securities will be hosting a number of Seminar/Workshops entitled “The Switch” to discuss the program, the differences between federal and state regulation, and to answer any question you may have. You, as one of the switching advisers, or industry participants are invited to sign up for one of these 2-hour sessions.

The Switch Seminar/Workshops will be conducted at the Civic Center Plaza Building, 1560 Broadway, Denver, CO 80202 in Conference Room 110D. The sessions are scheduled to begin at 2:00 PM and conclude by 4:00 PM MDT on the following dates:

December 2, 2011 / December 5, 2011 / December 7, 2011  
December 12, 2011 / December 13, 2011 / December 19, 2011

To make your reservation and register for one of The Switch Seminar/Workshops, call the Department of Regulatory Agencies @ 303-894-7855 or you may call the Division @ 303-894-2320. Seating is limited.

