



# DUE DILIGENCE CONFERENCE

The St. Regis Houston  
1919 Briar Oaks Lane, Houston, TX 77027  
March 17-19, 2023

## B/Ds, ADVISORS & FAMILY OFFICES REGISTRATION

Complete and submit this form to confirm your attendance.  
The following information will be used for correspondence and printed materials only.

**Broker Dealer:** \_\_\_\_\_ **Advisor:** \_\_\_\_\_ **Family Office:** \_\_\_\_\_

**B/D, Advisor, FO Name** \_\_\_\_\_

**Attendee:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City, State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **E-Mail:** \_\_\_\_\_

**Number of Registered Representatives and/or Advisors in your firm:** \_\_\_\_\_

(This information is REQUIRED for internal use only and will not be published.)

## Room Reservations - 2 room nights complimentary

**Check-In Date:** \_\_\_\_\_ **Check-Out Date:** \_\_\_\_\_

**Occupancy:** Single  Double Room

**Bed Size:** King  Two Double Beds

**Spouse/Guest:** Yes  No

**If "Yes", Name of Spouse/Guest:** \_\_\_\_\_

**There is a \$250.00 fee for each attending Guest.**

### Additional Firm Participant (if applicable)

\$725.00 participation fee for each Additional Attendee and \$250.00 for each attending Guest.

**B/D or Advisor Name:** \_\_\_\_\_

**Attendee:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City, State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Email:** \_\_\_\_\_

**ROOM RESERVATIONS:** \$207.00 + taxes per night at attendee's expense.

**Additional Room Required:** Yes:  No:

**Check-In Date:** \_\_\_\_\_ **Check-Out Date:** \_\_\_\_\_

**Occupancy:** Single  Double Room

**Bed Size:** King  Two Double Beds

**Spouse/Guest:** Yes  No

**Guest Name:** \_\_\_\_\_

### Conference Details

**ATTIRE:** Attire for all Conference functions will be Business Casual.

**MEALS:** All meals are complimentary during the Conference.

**ROOM RESERVATIONS:** Reservations are made by TNDDA and are complimentary for ONE Attending Member for the nights of March 17 & 18. Rooms are available Thursday, March 16 for early arrival and are at expense of Attendee. Group rate of \$207.00 + taxes will hold for 3 days before & after Conference subject to availability. Check-in after 3:00PM, check-out before 12:00PM (Noon).

**ROOM CANCELLATIONS:** 72 hours notice is required to **AVOID** cancellation penalty of one night's room and tax fee.

**ADDITIONAL ATTENDEES:** There is a \$725.00 participation fee for additional attendees. Hotel reservations & airfare are responsibility of additional attendees.

**GUESTS:** There is a \$250.00 fee for each attending Guest.

**GROUND TRANSPORTATION:** Ground Transportation to and from the airport and/or the Conference Hotel is the responsibility of the Attendee.

**AIRFARE REIMBURSEMENT:** Airfare reimbursed for one person per Firm up to \$600.00.



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### **Airfare Reimbursement Form**

Roundtrip Coach Airfare to and from Houston, TX.  
One Attendee per Firm, up to \$600.00

Ground transportation and parking not included in Reimbursement.

Total to be reimbursed \$ \_\_\_\_\_  
(Airfare Receipt must be attached)

Make Check Payable to: \_\_\_\_\_  
(Individual or Company Name)

\_\_\_\_\_  
Name

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip Code

“ShopTalk” begins Friday, March 17, 1:30 PM.  
Conference begins Friday, March 17, 3:00 PM.  
Conference concludes Sunday, March 19, by 1:00 PM.

**Please make airfare reservations accordingly!**



## **BROKER DEALER / ADVISORY FIRM / FAMILY OFFICE**

### **GUIDANCE**

**Attendance:** When making travel plans TNDDA strongly suggests that you attend our 1:30PM Shop Talk Series on Friday. The Conference begins in full at 3:00PM on Friday and ends at approximately 12:00 noon on Sunday.

**“Shop Talk”:** Participation in “Shop Talk” at 1:30pm on Friday is highly recommended.

**Conference Introduction:** We also highly recommend that participants attend the Conference Introduction, beginning at 3:00pm on Friday, in order to get the full benefit from the Conference.

**Participation:** Attend, be on time, and wear your name tag to all functions: Sponsor presentations, closed Broker Dealer, Advisory Firm and Family Office sessions, exhibit times, meals and networking events.

**Closed Sessions:** Complete and turn in the green questionnaire forms for all four Closed Broker Dealer, Advisory Firm and Family Office sessions.

**Private Events:** To ensure equal access to all attendees we ask Broker Dealers, Advisory Firms and Family Offices not to accept invitations to attend private events during our Conference events.

**Unregistered Guest:** Please do not bring unregistered guests to any Conference functions, meals or networking events.

**Travel Reimbursement Form:** Return Travel Reimbursement Form with accompanying receipt as soon as possible, after the Conference, if you have not already included them with your Registration Form.

**Questions:** Should you have any questions during the registration process, do not hesitate to contact us.