

December 6 – 7, 2017

Ft. Lauderdale, FL

- ▶ Hear perspectives, strategies and guidance on issues affecting the securities industry including AML, cybersecurity, fixed income and more.
- ▶ Network and share ideas with peers, FINRA staff and industry practitioners.
- ▶ Earn CRCP, CLE and CFP CE credits.



2017 FINRA

South Region Compliance Seminar



Agenda

FINRA's South Region Compliance Seminar

The South Region Compliance Seminar is conducted to help firms and their associated persons better understand current industry and regulatory issues. Throughout the event, staff members from the Atlanta, Boca Raton, Dallas and New Orleans offices, as well as other FINRA senior staff, will be available to discuss matters of interest with you.

Tuesday, December 5	
6:00 p.m. – 7:00 p.m.	Registration and Information
Wednesday, December 6	
8:00 a.m. – 5:00 p.m.	Registration and Information
8:00 a.m. – 10:00 a.m.	Continental Breakfast
10:00 a.m. – 10:05 a.m.	Welcome Remarks
10:05 a.m. – 11:05 a.m.	Plenary Session I – Examination Priorities
	<p>▶ Join FINRA panelists as they address current regulatory initiatives, priorities and findings. The session includes an extended Q&A segment to allow attendees to get a greater understanding of specific exam-related information.</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Debra Jastredowski, FINRA Atlanta District Office • Yvette Panetta, FINRA Boca Raton District Office • Blake Snyder, FINRA Anti-Money Laundering Investigative Unit (AMLIU) • Daniel Stefek, FINRA Atlanta District Office • Erin Vocke, FINRA Dallas and New Orleans District Office
11:05 a.m. – 11:15 a.m.	Networking Break
11:15 a.m. – 12:15 p.m.	Concurrent Sessions I
	<p>▶ Effective Practices for Managing Conflicts of Interest and Considerations Related to Dual Registration</p> <p>This session explores major types of conflicts of interest facing firms and examines the typical supervisory systems used to address those conflicts. In addition, the session provides practical insight regarding how firms can manage dual registration issues.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Alistair Johnson, FINRA New Orleans District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Ronald Klimas, Securities Services Network, Inc. • Joelle Morris, FINRA Dallas District Office • Mary Simonson, Advisor Group, Inc.

Agenda continued

Continuing Education (CE) Credits

Attendance to this seminar qualifies for Certified Regulatory and Compliance Professional™ (CRCP™), Certified Financial Planner (CFP) and Continuing Legal Education (CLE) continuing education credits.

CLE attendees will receive a five (5)-credit CLE CE voucher from NACLE (National Academy of Continuing Legal Education) for attending the South Region Compliance Seminar.

11:15 p.m. – 12:15 p.m.	Concurrent Sessions I continued
	<p>▶ Product Suitability Join FINRA staff and industry practitioners as they discuss product suitability and the proactive steps firms can take to best serve investors and reduce regulatory risk. Moderator: • Elizabeth Mauro, FINRA Boca Raton District Office</p> <p>Panelists: • William Givens, Morgan Stanley • Casey Harper, FINRA Dallas District Office • Caroline Hall, Raymond James Financial, Inc.</p> <hr/> <p>▶ Demystifying Cybersecurity: Effective Practices to Help Strengthen Your Program (offered twice) This session provides guidance on useful practices for protecting customer information, what to do in the event of a data breach, and tackling other cybersecurity situations. Do you have a plan that is comprehensive or robust? Are you effectively protecting your firm and your clients from threats? Whether you are just starting out or updating a well-documented approach, this session provides actionable effective practices and highlights in-depth tools to help you strengthen your cybersecurity program. Moderator: • Gregory Brown, FINRA Dallas District Office</p> <p>Panelists: • David Kelley, FINRA Kansas City District Office • Kevin Rosen, Shutts & Bowen LLP • Andy Zolper, Raymond James Financial, Inc.</p>
12:15 p.m. – 1:15 p.m.	Networking Lunch
1:15 p.m. – 1:45 p.m.	Keynote Address: Susan Axelrod, FINRA Office of Regulatory Operations
1:45 p.m. – 2:00 p.m.	Networking Break



Agenda continued

2:00 p.m. – 3:00 p.m.	Concurrent Sessions II
	<p>▶ Compliance Tools Workshop (offered twice) Join FINRA staff as they demonstrate tools examiners use that compliance and AML personnel at firms can use themselves to identify patterns of AML and compliance risk, maximize the effectiveness of public-record searches and more. The panel also covers common industry practices for mitigating various AML and compliance risks. Moderator: • Jason Foye, FINRA Anti-Money Laundering Investigative Unit (AMLIU) Panelists: • Peter Gonzalez, FINRA Anti-Money Laundering Investigative Unit (AMLIU) • Shawn Murray, FINRA Boca Raton District Office</p> <hr/> <p>▶ Writing and Maintaining WSPs This session provides guidance and practical tips for developing or reviewing written supervisory procedures (WSPs). WSPs are “living documents,” and should provide a road map for supervisory personnel to follow when they conduct reviews. Join FINRA senior staff and industry panelists as they define and provide guidelines for creating WSPs. Moderator: • Gargi Sharma, FINRA Boca Raton District Office Panelists: • Mitchell (Mitch) Atkins, FirstMark Regulatory Solutions, Inc. • Juan Massens, EFG Capital International Corp. • Neivon Morantez, FINRA New Orleans District Office • Kathryn (Kate) Wilson, FINRA Enforcement</p> <hr/> <p>▶ Emerging Regulatory Issues and Trends During this session, panelists discuss new and emerging areas and trends in the securities industry, such as blockchain technology, initial coin offerings, online capital-raising platforms and much more. Moderator: • Michael Yuan, FINRA Dallas District Office Panelists: • Bill Clark, MicroVentures Marketplace • Christopher Haines, Edward Jones • Kaye Harwood, FINRA Boca Raton District Office • Kavita Jain, FINRA Emerging Regulatory Issues</p>

Agenda continued

Featured Networking Opportunity

Meet one-on-one with regulatory coordinators from FINRA's District 7 (Boca Raton) during lunch to discuss firm-specific questions.

3:00 p.m. – 3:15 p.m.	Networking Break
3:15 p.m. – 4:15 p.m.	Concurrent Sessions III
	<p>▶ Senior Investors</p> <p>During this session, attendees learn the signs to look for, the questions to ask, and the steps to identify potential capacity issues and other considerations when working with senior investors. Panelists share “red flags” that may indicate elder abuse and procedures their firms have implemented if abuse is suspected. In addition, panelists discuss lessons learned from the FINRA Securities Helpline for Seniors® and FINRA Rule 2165.</p> <p>Moderator: • Brooke Hickman-Elgrim, FINRA Senior Helpline</p> <p>Panelists: • Rosemary Magee, Royal Alliance Associates, Inc. • Amanda Senn, Alabama Securities Commission • Mary Tucker, Wells Fargo Advisors • Jeanette Wingler, FINRA Office of General Counsel</p>
	<p>▶ Demystifying Cybersecurity: Effective Practices to Help Strengthen Your Program (offered twice)</p> <p>This session provides guidance on useful practices for protecting customer information, what to do in the event of a data breach, and tackling other cybersecurity situations. Do you have a plan that is comprehensive or robust? Are you effectively protecting your firm and your clients from threats? Whether you are just starting out or updating a well-documented approach, this session provides actionable effective practices and highlights in-depth tools to help you strengthen your cybersecurity program.</p> <p>Moderator: • Gregory Brown, FINRA Dallas District Office</p> <p>Panelists: • David Kelley, FINRA Kansas City District Office • Kevin Rosen, Shutts & Bowen LLP • Andy Zolper, Raymond James Financial, Inc.</p>

Agenda continued

3:15 p.m. – 4:15 p.m.	Concurrent Sessions III continued
	<p>▶ Bonds: 2017 and Beyond During this session, FINRA staff and industry practitioners discuss current developments and future trends in the fixed income market, including implementation of TRACE® reporting for U.S. Treasury securities and fixed income market structure issues.</p> <p>Moderator: • Grant Gibbons, FINRA New Orleans District Office</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Robert Coulter, Hilltop Securities, Inc. • Gene Davis, FINRA Dallas District Office • Cynthia Friedlander, FINRA Regulatory Operations, Fixed Income Regulation • Gail Marshall, Municipal Securities Rulemaking Board (MSRB)
4:15 p.m. – 4:30 p.m.	Networking Break
4:30 p.m. – 5:30 p.m.	Plenary Session II – Ask FINRA Staff
	<p>▶ During this session, FINRA senior staff update attendees on key issues facing the industry and address questions relating to the examination program, the implication of new and pending FINRA rules, and other important issues.</p> <p>Moderator: • Susan Axelrod, FINRA Office of Regulatory Operations</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Jessica Hopper, FINRA Enforcement • Thomas Nelli, FINRA South Region • Michael Rufino, FINRA Member Regulation, Sales Practice
5:30 p.m. – 6:30 p.m.	Networking Reception

Agenda continued

Thursday, December 7	
7:30 a.m. – 12:00 p.m.	Registration and Information
7:30 a.m. – 8:30 a.m.	Continental Breakfast
8:30 a.m. – 9:30 a.m.	Plenary Session III – Branch Office Inspections: Implementing a Risk-Based Program and Identifying Red Flags
	<p>▶ This panel discusses practices observed in implementing effective risk-based branch office inspection programs. The panel also features a discussion of common findings and observations from FINRA branch exams, including examples of red flags identified.</p> <p>Moderator: • Brooks Brown, FINRA Atlanta District Office</p> <p>Panelists: • Gene Gunderson, Synovus Securities, Inc. • James Hook, LPL Financial • Christopher Putt, Atlanta District Office</p>
9:30 a.m. – 9:45 a.m.	Networking Break
9:45 a.m. – 10:45 a.m.	Concurrent Sessions IV
	<p>▶ Compliance Tools Workshop (offered twice)</p> <p>Join FINRA staff as they demonstrate tools examiners use that compliance and AML personnel at firms can use themselves to identify patterns of AML and compliance risk, maximize the effectiveness of public-record searches and more. The panel also covers common industry practices for mitigating various AML and compliance risks.</p> <p>Moderator: • Jason Foye, FINRA Anti-Money Laundering Investigative Unit (AMLIU)</p> <p>Panelists: • Peter Gonzalez, FINRA Anti-Money Laundering Investigative Unit (AMLIU) • Shawn Murray, FINRA Boca Raton District Office</p>

Agenda continued

9:45 a.m. – 10:45 a.m.	Concurrent Sessions IV continued
	<p>▶ Outside Business Activities/Private Securities Transactions Outside business activities (OBAs) and private securities transactions (PSTs) are regulatory and examination priorities, as they can both result in conflicts of interest that firms must understand and mitigate. Join industry practitioners and FINRA staff as they cover conflicts related to OBAs and PSTs, and the key legal requirements of, and practical tips for, supervising such activities.</p> <p>Moderator: • Dawn Calonge, FINRA Boca Raton District Office</p> <p>Panelist: • Penny Blackwell, FINRA Enforcement • Christoph Stoehrfeldt, FINRA Boca Raton District Office</p> <hr/> <p>▶ Continuing Membership Application (CMA) Attend this session to hear about FINRA's Continuing Membership Application (CMA) process. Specifically, attendees learn about FINRA's expedited review process and how FINRA staff evaluates business changes. Panelists also discuss how attendees can proactively address common issues found to cause delays or otherwise impact CMAs. Other topics discussed include membership agreement changes and materiality consultations.</p> <p>Moderator: • Clint Johnson, FINRA Atlanta District Office</p> <p>Panelists: • Alissa (Lisa) Robinson, FINRA Membership Application Program • Christoph Stoehrfeldt, FINRA Boca Raton District Office • James Webb, Cap Securities, Inc.</p>
10:45 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 12:00 p.m.	Plenary Session IV – Hiring Practices and High-Risk Brokers
	<p>▶ Join FINRA staff and industry panelists as they share their firm's practices for hiring and ongoing monitoring of personnel. Panelists also discuss their procedures for screening and training new hires, and focus on high-risk broker red flags</p> <p>Moderator: • Scott Maestri, FINRA Dallas District Office</p> <p>Panelists: • John Clark, FINRA Boca Raton District Office • Jacob Palmer, SWBC Investment Services, LLC • Michael Pedlow, Kestra Investment Services</p>
12:00 p.m.	Closing Remarks/Seminar Adjourns Thomas Nelli, FINRA South Region

Registration

How to Register

To register, visit www.finra.org/southregion2017 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (202) 728-6980 or send an email to conreq@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

The special discounted rate for the first 50 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start of the conference. We regret that refunds will not be granted after November 22, 2017.

Fees

In Person – Individual	First 50 Through September 7	50+ or After September 7
FINRA Member Firm <i>must provide valid CRD #</i>	\$550	\$650
Non-Member	\$995	\$1,195
Government / Regulator	\$450	\$550

In Person – Group Rate* (Per Person)	First 50 Through September 1	50+ or After September 1
FINRA Member Firm <i>must provide valid CRD #</i>	\$450	\$550
Non-Member	\$950	\$1,050

* Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in the registration system.

Seminar fees include attendance to all sessions and conference materials, an evening reception on Wednesday, and continental breakfast on Thursday.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6980.

Hotel and Travel

The 2017 South Region Compliance Seminar takes place at:

Marriott Harbor Beach Resort and Spa
3030 Holiday Drive
Fort Lauderdale, FL 33316

Reservations may be made online or by calling the hotel for best availability and rates.

Hotel Reservations

A room block has been added at the Marriott Harbor Beach Resort and Spa, located at 3030 Holiday Drive, Fort Lauderdale, FL 33316. The room rate of \$219, plus tax per night, is available until November 6, 2017, or until the room block is sold out.

Hotel reservations will then be accepted on a space- and rate-available basis. Reserve your hotel room [online](#) or call 800-222-6543 and identify yourself as an attendee of the 2017 FINRA South Region Compliance Seminar.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary.

Please note that hotel reservations, cancellations, and charges are the attendee's responsibility.

FINRA South Region Compliance Seminar App

Our conference app is created specifically for South Region Compliance Seminar attendees; it empowers our attendees to network and connect, and it provides conference details at your fingertips. The app will be available for download in the near future. It includes information about:

- ▶ speakers;
- ▶ sessions;
- ▶ exhibitors;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.



Speakers

Full Name	Company
Mitchell (Mitch) Atkins	FirstMark Regulatory Solutions, Inc.
Susan Axelrod	FINRA Office of Regulatory Operations
Penny Blackwell	FINRA Enforcement
Gregory Brown	FINRA Dallas District Office
Brooks Brown	FINRA Atlanta District Office
Angela Brunelle	FINRA Boca Raton District Office
Dawn Calonge	FINRA Boca Raton District Office
Bill Clark	MicroVentures Marketplace
John Clark	FINRA Boca Raton District Office
Robert Coulter	Hilltop Securities, Inc.
Gene Davis	FINRA New Orleans District Office
Jason Foye	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Sharon Frankel	FINRA Boca Raton District Office
Cynthia Friedlander	FINRA Regulatory Operations, Fixed Income Regulation
Grant Gibbons	FINRA New Orleans District Office
William Givens	Morgan Stanley
Peter Gonzalez	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Gene Gunderson	Synovus Securities, Inc.
Christopher Haines	Edward Jones
Caroline Hall	Raymond James Financial, Inc.
Casey Harper	FINRA Dallas District Office
Kaye Harwood	FINRA Boca Raton District Office
Brooke Hickman-Elgrim	FINRA Senior Helpline
Jessica Hopper	FINRA Enforcement
James Hook	LPL Financial
Kavita Jain	FINRA Emerging Regulatory Issues
Debra Jastredowski	FINRA Atlanta District Office

Speakers continued

Clinton Johnson	FINRA Atlanta District Office
Alistair Johnson	FINRA New Orleans District Office
David Kelley	FINRA Kansas City District Office
Ronald Klimas	Securities Service Network, Inc.
Mayte Lujan	FINRA Boca Raton District Office
Scott Maestri	FINRA Dallas District Office
Rosemary Magee	Royal Alliance Associates, Inc.
Gail Marshall	Municipal Securities Rulemaking Board (MSRB)
Juan Massens	EFG Capital International Corp.
Elizabeth Mauro	FINRA Boca Raton District Office
Neivon Morantez	FINRA New Orleans District Office
Joelle Morris	FINRA Dallas District Office
Shawn Murray	FINRA Boca Raton District Office
Thomas Nelli	FINRA South Region
Laura Pagnanelli	FINRA Boca Raton District Office
Jacob Palmer	SWBC Investment Services, LLC
Yvette Panetta	FINRA Boca Raton District Office
Michael Pedlow	Kestra Investment Services
Christopher Putt	FINRA Atlanta District Office
Lisa Reid	FINRA Boca Raton District Office
Alissa (Lisa) Robinson	FINRA Membership Application Program
Kevin Rosen	Shutts & Bowen LLP
Michael Rufino	FINRA Member Regulation, Sales Practice
Edward Rumph	FINRA Boca Raton District Office
Amanda Senn	Alabama Securities Commission
Gargi Sharma	FINRA Boca Raton District Office
Mary Simonson	Advisor Group, Inc.
Blake Snyder	FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Speakers continued

Daniel Stefek	FINRA Atlanta District Office
Christoph Stoehrfeldt	FINRA Boca Raton District Office
Mary Tucker	Wells Fargo Advisors
Erin Vocke	FINRA Dallas and New Orleans District Offices
James Webb	Cape Securities, Inc.
Clifford Wexler	FINRA Boca Raton District Office
Kathryn (Kate) Wilson	FINRA Enforcement
Jeanette Wingler	FINRA Office of General Counsel
Melinda Wolfe	Kovack Securities, Inc.
Michael Yuan	FINRA Dallas District Office
Andy Zolper	Raymond James Financial, Inc.