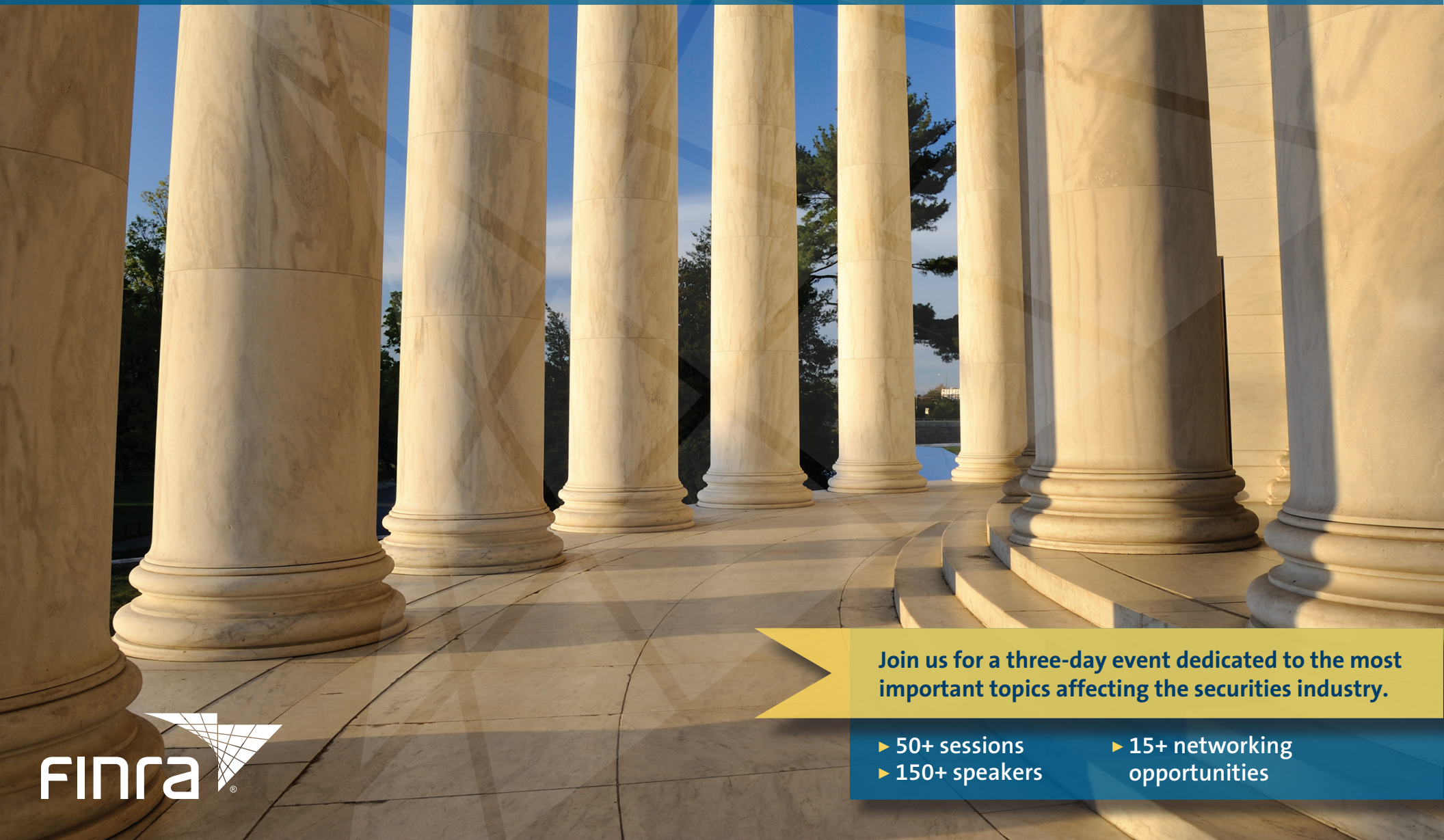
May 21 – 23 | Washington, DC

2018 FINRA Annual Conference



Join us for a three-day event dedicated to the most important topics affecting the securities industry.

- 50+ sessions
- 150+ speakers
- 15+ networking opportunities

FINRA®

Agenda

LIVE BROADCAST ATTENDEES:
VIDEO

Sunday, May 20

5:00 p.m. – 7:00 p.m.	**Registration and Information**
	"Kick Off" Happy Hour With Exhibitors

Monday, May 21

7:30 a.m. – 6:00 p.m.	**Registration and Information**
8:00 a.m. – 6:00 p.m.	**Meet With Exhibitors**
8:00 a.m. – 9:30 a.m.	**General Continental Breakfast**
8:30 a.m. – 9:30 a.m.	**New Conference Attendee Orientation and Breakfast**
	▶ This orientation breakfast is designed specifically to provide new conference attendees the opportunity to gain valuable knowledge on how to navigate the conference. During this session, attendees learn about the conference app and networking opportunities, and receive information on many other onsite features, including office hours, demos and more. Attendees also have the opportunity to network with fellow new conference attendees and get first-hand answers to last-minute questions. Cannot make this session? Visit an Information Booth located on levels 2, 3 or 4, to have any questions answered. Moderator: **Susanne Goldsmith**, FINRA Member Relations and Education Panelists: **Karrie Foley**, FINRA Member Relations and Education **Holly Scavetta**, FINRA Member Relations and Education

10:00 a.m. – 10:10 a.m.	**Plenary Session I**	
	▶ **Welcome Remarks: Chip Jones,** FINRA Member Relations and Education	
10:10 a.m. – 11:00 a.m.	**Plenary Session II**	
	▶ **Keynote Address: Robert Cook,** President and CEO, FINRA Introduction: **Chip Jones,** FINRA Member Relations and Education Speaker: **Robert Cook,** FINRA	
11:00 a.m. – 11:15 a.m.	**Networking and Demos Break**	

11:15 a.m. – 12:15 p.m.	Concurrent Sessions I

Alternative Investments and Current Issues

This session addresses the role of alternative investments in raising capital and new distribution models. The session emphasizes the importance of understanding product features, characteristics and their supervisory challenges.

Moderator: **Joseph (Joe) Price,** FINRA Corporate Financing/Advertising Regulation

Panelists: **Gabriela Aguero**, FINRA Corporate Financing | **Alan Berkeley**, K&L Gates | **Nathan Headrick**, Triloma Capital

Working Together to Protect Senior Investors

Join FINRA staff and industry practitioners as they discuss rules and laws to assist firms in protecting senior clients, and others who may experience signs of diminished capacity, from financial abuse. Panelists share techniques around staff and advisor education, as well as effective operational practices.

Moderator: **Gerri Walsh**, FINRA Office of Investor Education

Panelists: **Brian Kovak Esq.,** Kovack Securities, Inc. | **Erin Linehan Esq.,** Raymond James Financial, Inc.
Ronald (Ron) Long, Wells Fargo Advisors | **Yvette Panetta**, FINRA Boca Raton District Office

Supervisory Systems—Documenting and Monitoring Client and Advisor Interaction

Conversations between advisors and their clients have become a critical component of supervision practices. This session focuses on what should be documented during a client meeting, and the various controls firms have in place to monitor and supervise these meetings. Panelists provide tips and discuss supervisory systems in place that help to best serve their clients, while also protecting the firm and its representatives.

Moderator: **Daniel (Dan) Stefek,** FINRA Atlanta District Office

Panelists: **Bill Bell,** FINRA Philadelphia District Office | **Mark Cresap,** Cresap, Inc. | **Mary Simonson,** Advisor Group, Inc.

Lessons Learned and Developments in AML (AML Track)

Does your AML program meet evolving expectations and address emerging money-laundering risks? Join FINRA staff and industry experts as they review legal cases and enforcement actions impacting AML programs. Panelists cover critical regulatory concerns, potential vulnerabilities, and how you can address any pitfalls in your AML program.

Moderator: **Laura Leigh Blackston,** FINRA Enforcement

Panelists: **Alma Angotti**, Navigant | **Sarah Green**, Vanguard | **Paul Tyrrell**, Sidley Austin, LLP

Advertising Compliance Boot Camp: Fundamentals of FINRA Rule 2210 (B2BC Track)

This session is designed for compliance and marketing professionals who are new to FINRA's advertising rules, or experienced practitioners interested in need of a refresher. During this session, panelists provide an overview of FINRA Rule 2210 (Communications With the Public), including the filing requirements, internal approval and supervision, and the content standards. FINRA panelists also answer questions about how to apply the rules to financial services communications and marketing materials, and provide tips on how to submit communications for review by Advertising Regulation Department staff.

Moderator: **Gregory (Gregg) Riviello,** FINRA Advertising Regulation

Panelists: **Pramit Das**, FINRA Advertising Regulation | **Steven (Steve) O'Mara**, FINRA Advertising Regulation

AML = Anti-Money Laundering Track **B2BC =** Back to Basics Compliance Track **FinTech =** FinTech Track **Advertising =** Advertising Track

12:15 p.m. – 1:15 p.m.	Lunches | CRCP, Diversity and Inclusion and General

CRCP® Lunch

Introduction: **Patricia Albrecht,** FINRA Member Relations and Education

Speaker: **James (Jim) Angel,** Georgetown University's McDonough School of Business

Diversity and Inclusion Lunch

Introduction: **Robert Cook**, FINRA

Moderator: **Audria Pendergrass Lee**, FINRA HR Diversity and Worklife

Speaker: **Hillary Sale**, Washington University in St. Louis and FINRA Public Governor

1:15 p.m. – 1:45 p.m.	**Dessert With Exhibitors**

1:45 p.m. – 2:45 p.m.	Concurrent Sessions II

▶ **Detecting, Preventing and Investigating Fraud and Misappropriation**

This session focuses on recent or noteworthy fraud cases. Panelists highlight emerging trends in securities fraud, provide tips to identify potential "red flags," and discuss who to contact if a fraudulent scheme is suspected.

Moderator: **Cameron (Cam) Funkhouser**, FINRA Office of Fraud Detection and Market Intelligence

Panelists: **Anthony (Tony) Cavallaro**, FINRA Office of Fraud Detection and Market Intelligence
Jennifer Diamantis, U.S. Securities and Exchange Commission (SEC) | **Aaron Seres,** Federal Bureau of Investigation (FBI) | **Susan Schroeder**, FINRA Enforcement

▶ **Common Examination Findings and Effective Compliance Practices for Institutional Firms**

Join FINRA staff as they discuss the most common deficiencies noted during FINRA cycle examinations of institutional firms. Industry practitioners discuss taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings pertaining to fixed income and equity sales, and trading business lines.

Moderator: **William (Bill) St. Louis**, FINRA New York and Long Island District Offices

Panelists: **Mark Catana**, JPMorgan Chase & Co. | **Eric Field**, Robert W. Baird & Co.
Jeffrey (Jeff) Herrmann, FINRA New York District Office | **Gil Mogavero**, JMP Securities LLC

▶ **Where to Turn When Questions Arise (Small Firm Focus)**

This session is designed to assist small firms with helpful tools and resources available to aid your firm's regulatory awareness and compliance efforts. Panelists highlight who to call when you have specific questions, and where to find compliance checklists and topic-specific templates.

Moderator: **John Veator**, FINRA Member Relations and Education

Panelists: **Noah Egorin**, FINRA Registration and Disclosure's Business Development and Innovation
Shawn McLaughlin, McLaughlin Ryder Investments, Inc. | **Lisa Roth**, Tessera Capital Partners, LLC

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Upcoming Regulatory Changes

During this session, panelists preview and discuss upcoming rule changes, proposals and other regulatory initiatives.

Moderator: **Philip (Phil) Shaikun**, FINRA Office of General Counsel

Panelists: **Meredith Cordisco**, FINRA Office of General Counsel | **Robert (Bob) Hamman**, First Asset Financial, Inc.
Kevin Miller, Securities America, Inc.

Information Security 101 (B2BC Track)

This Back to Basics Compliance session covers the fundamentals of identifying threats and vulnerabilities within your organization.

Moderator: **Steven (Steve) Polansky**, FINRA Regulatory Operations/Shared Services

Panelists: **Laurie Dzien**, FINRA Office of General Counsel | **Melinda (Mimi) LeGaye**, Moody Securities, LLC
Ann McCague, Piper Jaffray & Co. | **Hardeep Walia**, Motif

2:45 p.m. – 3:00 p.m.	**Networking and Demos Break**

3:00 p.m. – 4:00 p.m. Concurrent Sessions III

The Three Lines of Defense: Risk Management Supervision, Compliance and Internal Audit

Compliance and business supervision roles are becoming difficult to differentiate. Join FINRA staff and industry practitioners as they discuss how their firms are defining the roles of supervisors and compliance personnel. Panelists discuss the three lines of defense and how their firms are applying the model within their organizations.

Moderator: **Donald (Don) Lopezi**, FINRA West Region

Panelists: **Tracy Calder**, LPL Financial, LLC | **David Greene**, FINRA Los Angeles District Office
Alexander (Alex) Schneble, Robert W. Baird & Co. Inc.

Understanding FINRA Qualification Examination Program and Continuing Education Changes

This session provides guidance on the implementation of the new Securities Industry Essentials (SIE) qualification examination and revised representative-level qualification exams. Panelists discuss the aspects of the SIE exam, and how examinees enroll. Additionally, panelists discuss proposed changes, and answer questions around the Securities Industry Continuing Education Program.

Moderator: **William (Bill) Swanstrom**, FINRA Membership Gateway

Panelists: **Joseph (Joe) McDonald**, FINRA Testing and Continuing Education | **David Scrams**, FINRA Continuing Education

Communications With the Public: Current Topics (Advertising Track)

Join FINRA staff and industry panelists as they discuss current advertising compliance issues. Topics include the impact of the recently enacted FAIR Act, the status of FINRA's rule proposal related to the use of projections, and creative ways to use effective disclosure. Panelists also share tips to strengthen the marketing and compliance relationship when developing compliant communications.

Moderator: **Thomas (Tom) Pappas**, FINRA Advertising Regulation

Panelists: **Ted Newton**, MassMutual Financial Group | **Joseph (Joe) Savage**, FINRA Office of Regulatory Analysis
Lawrence (Larry) Stadulis, Stradley Ronon Stevens & Young, LLP

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Emerging FinTech Trends (FinTech Track)

Join FINRA staff and industry representatives as they discuss how recent developments in financial technology (FinTech) are disrupting the securities industry. Topics include RegTech, automated investment advice and other advances in FinTech.

Moderator: **Kavita Jain**, FINRA Emerging Regulatory Issues

Panelists: **Boris Khentov**, Betterment Securities | **Joseph (Joe) Nadreau**, Wells Fargo Advisors
Vijay Sankaran, TD Ameritrade

Supervisory Systems—Documenting and Monitoring Client and Advisor Interaction

Conversations between advisors and their clients have become a critical component of supervision practices. This session focuses on what should be documented during a client meeting, and the various controls firms have in place to monitor and supervise these meetings. Panelists provide tips and discuss supervisory systems in place that help to best serve their clients, while also protecting the firm and its representatives.

Moderator: **Daniel (Dan) Stefek**, FINRA Atlanta District Office

Panelists: **Bill Bell,** FINRA Philadelphia District Office | **Mark Cresap**, Cresap, Inc. | **Mary Simonson**, Advisor Group, Inc.

Mock Examination (B2BC Track)

Repeat Session

This Back to Basics Compliance session focuses on what you can expect during a FINRA firm examination. During this session, panelists review the steps involved in firm examinations, explore FINRA's approach to risk-based examinations, outline roles and responsibilities of members of the surveillance staff and examination team, highlight the expectations of the member firm staff, discuss strong practices observed by the examination staff, and summarize the various types of examinations.

Moderator: **Scott DeArmey**, FINRA Kansas City District Office

Panelists: **Eric Bederman**, Romano Wealth Management | **Robert (Bob) Brunton**, Edward Jones
Robert (Rob) Gnoinski, FINRA Kansas City District Office

4:00 p.m. – 4:15 p.m.	**Networking and Demos Break**

4:15 p.m. – 5:15 p.m.	Plenary Session IV	
	▶ **Dispelling Myths Around the FINRA Board** During this session, panelists discuss what goes on at a FINRA Board meeting. Moderator: **Marcia Asquith**, FINRA Board and External Relations Panelists: **Carol Anthony (John) Davidson**, FINRA Public Governor **Shelly Lazarus**, FINRA Public Governor/Ogilvy & Mather **Kathleen Murphy**, Fidelity Investing **Joseph (Joe) Romano**, Romano Wealth Management **Elisse Walter**, FINRA Public Governor / Retired from the U.S. Securities and Exchange Commission (SEC)	

6:00 p.m. – 7:00 p.m.	Networking Reception | Sponsored by Smarsh
7:00 p.m.	**Buses begin loading at Marquis Lobby**
7:30 p.m. – 9:30 p.m.	**Opening-Night Reception at Smithsonian National Portrait Gallery**

Watch the **2018 Annual Conference Promotional Video**

Tuesday, May 22

7:00 a.m. – 6:00 p.m.	**Registration and Information**
7:00 a.m. – 7:00 p.m.	**Meet With Exhibitors**
7:00 a.m. – 8:00 a.m.	**Breakfast With Member Regulation Senior Staff**
	General Continental Breakfast
8:00 a.m. – 8:30 a.m.	**Plenary Session V**
	▶ **Keynote Address** **Mr. Brett Redfearn**, Division of Trading and Markets U.S. Securities and Exchange Commission (SEC)
8:30 a.m. – 9:30 a.m.	**Plenary Session VI**
	▶ **Compliance and Legal Trends** Join industry leaders as they discuss key issues affecting the regulatory landscape. Panelists discuss trends, key focus areas and strategies that are shaping the industry. Panelists also share their thoughts on how these changes will affect compliance, and how firms are evolving and responding to business, regulatory and technology issues. Moderator: **Robert (Bob) Colby**, FINRA Legal Office Panelists: **Stephen (Steve) Cutler**, Simpson, Thacher & Bartlett **Daniel (Dan) Kosowsky**, Morgan Stanley **Robert (Bob) Muh**, Sutter Securities Incorporated **Hillary Sale**, Washington University in St. Louis and FINRA Public Governor
9:30 a.m. – 10:00 a.m.	**Networking and Demos Break**

10:00 a.m. – 11:00 a.m.	**Concurrent Sessions IV**
▶ **Managing Cybersecurity Risk (Medium/Large Firm Focus)** Every firm faces cybersecurity risks, and every firm needs a cybersecurity program to manage them. What types of cybersecurity risks does your firm face? Does your current program comprehensively address this universe of risks? How do you measure whether your program is effectively mitigating these risks for your firm and your clients? This session helps you consider and prioritize the myriad cybersecurity risks your firm faces, and discusses useful practices and tools for protecting your firm and customers' information and for measuring the health of your program. Whether you are beginning to build a cybersecurity risk management program, or are seeking to validate and enhance a mature established program, this session provides actionable practices and proven tools used in our industry to build and maintain a comprehensive and effective cybersecurity program. Moderator: **David (Dave) Yacono**, FINRA Cyber & Information Security Panelists: **Kevin Bogue**, FINRA Chicago District Office | **Amie Caban**, Guggenheim Partners | **Christopher (Chris) Cook**, FINRA Office of the Ombudsman | **Gregory (Greg) Scroggs**, Primerica	

Common Examination Findings and Effective Compliance Practices (Small Firm Focus)

Join FINRA staff as they discuss FINRA's examination process and most common deficiencies noted during cycle examinations of small firms. Industry practitioners discuss effective practices for preparing for examinations taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings.

Moderator: **Lance Burkett**, FINRA Denver District Office

Panelists: **Stephen Kohn**, Stephen A. Kohn & Associates, Ltd. | **Elizabeth (Liz) Page**, FINRA Boston District Office
Harry Striplin, Umpqua Investments, Inc.

Recruiting, Hiring and Heightened Supervision Practices

Attend this session to hear FINRA staff and industry practitioners discuss useful recruiting, hiring and heightened supervision practices in the retail space.

Moderator: **Thomas (Tom) Drogan**, FINRA Member Regulation, Office of Sales Practice

Panelists: **Patrick (Pat) Caulfield**, Lincoln Financial Group Distribution, Inc. | **Patricia Hatzfeld**, FINRA Office of Sales Practice
Mark Lontchar, Raymond James Financial Services, Inc.

Investment Company Products: Current Issues and Considerations

This session covers current issues and considerations for the sale of investment company products. Industry panelists discuss effective practices for supervising registered representatives who sell these products. FINRA staff highlights areas of regulatory concern.

Moderator: **Thomas (Tom) Selman**, FINRA Office of Regulatory Analysis

Panelists: **Angela Goelzer**, FINRA Office of Regulatory Analysis | **Scott Kirwin**, Fidelity Investments LLC
Joseph (Joe) Terry, Signator Investors, Inc.

Relationship Between Clearing Firms and Correspondents

This session is designed to assist firms in making the most of the relationship with their clearing firm. Panelists discuss the roles and responsibilities of clearing and introducing firms, types of data and services clearing firms offer, and practices for integrating these tools into introducing firms' compliance processes.

Moderator: **Demetrios (Jay) Koutros**, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

Panelists: **Albert (Al) Caiazzo**, First Clearing
Ronald (Ron) Chan, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Cathy Cucharale, M. Griffith Investment Services, Inc. | **Elizabeth Kaplan**, J.J.B. Hilliard, W.L. Lyons, LLC

Effective Practices in Fraud Detection (B2BC Track)

This Back to Basics Compliance session focuses on effective practices in fraud detection. Attendees learn the core forms of fraud, indications of potential fraud, the essential attributes of an effective control framework to prevent and detect fraud, and the process for investigating instances of suspected fraud.

Moderator: **Cameron (Cam) Funkhouser**, FINRA Office of Fraud Detection and Market Intelligence

Panelists: **Robert (Rob) Cohen**, U.S. Securities and Exchange Commission (SEC) | **Greg Ruppert**, Charles Schwab & Co., Inc.

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Emerging FinTech Trends (FinTech Track) Repeat Session

Join FINRA staff and industry representatives as they discuss how recent developments in financial technology (FinTech) are disrupting the securities industry. Topics include RegTech, automated investment advice and other advances in FinTech.

Moderator: **Haimera (Haime) Workie**, FINRA Emerging Regulatory Issues

Panelists: **Boris Khentov**, Betterment Securities | **Joseph (Joe) Nadreau**, Well Fargo Advisors | **Vijay Sankaran**, TD Ameritrade

11:00 a.m. – 11:15 a.m.	**Networking and Demos Break**
11:15 a.m. – 12:15 p.m.	**Concurrent Sessions V**

Common Examination Findings and Effective Compliance Practices (Medium/Large Firm Focus)

Join FINRA staff as they discuss the most common deficiencies noted during FINRA cycle examinations of medium and large firms. Industry practitioners discuss effective practices for preparing for examinations, taking corrective action, and updating compliance procedures and practices based on examination results.

Moderator: **Michael Solomon**, FINRA Northeast Region

Panelists: **Kristen Dugan**, Bank of America | **Scott Gilbert**, FINRA New York District Office
Rocco (Rocky) Procopio, Morgan Stanley Wealth Management

Financial and Operational Effective Practices (Small Firm Focus)

Join FINRA staff and industry practitioners for an interactive discussion on recent financial and operational rulemaking activities affecting small firms. Panelists discuss effective practices regarding onboarding of new products, compare and contrast approaches compliance professionals take to ensure coverage of financial and operational risks, and discuss managing vendor and outsourcing relationships, including part-time FINOPs.

Moderator: **Erin Vocke**, FINRA Dallas and New Orleans District Offices

Panelists: **Amber Crouch**, Crews & Associates, Inc.
Jeffrey Fortune, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Linde Murphy, M.E. Allison & Co., Inc.

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Fixed Income Sales and Trading: Current Issues

This session discusses the current trends in, and their potential implications for, the fixed income markets and how regulators and firms are responding.

Moderator: **Ola Persson**, FINRA Transparency Services

Panelists: **John Bridges**, Winslow, Evans, and Crocker, Inc. | **Elliot Levine**, FINRA Transparency Services
Philip (Phil) Rothman, Fidelity Capital Markets | **Alexander (Alex) Sedgwick**, T. Rowe Price

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Registration and Licensing Transformation With CRD®

The industry and the technology that supports it has changed significantly since Web CRD® was first introduced in 1999. The tools you count on everyday should be robust, flexible, and responsive to the varying needs of different firm business models and their registered representative population. In 2018, FINRA will embark on a multi-year initiative to transform the CRD system. With the new system, you will not only be able to manage your firm responsibilities more effectively, but with FINRA's Financial Professional Gateway at your disposal, you will also be able to automate many of the administrative interactions you have with your registered representatives. During this session, FINRA business and technology staff cover the upcoming roadmap, significant feature releases, and answer your questions about the future of this important system.

Moderator: **William (Bill) Swanstrom**, FINRA Membership Gateway

Panelists: **Noah Egorin**, FINRA Registration and Disclosure's Business Development and Innovation
Ivy Ho, FINRA Industry and Investor Technology

Suitability: What You Need to Know (B2BC Track)

This Back to Basics Compliance session provides a review of important suitability obligations for new compliance and legal professionals. Join FINRA staff, along with industry participants, as they share relevant information on the key components of the suitability rule, including the three main suitability obligations: customer-specific, reasonable-basis and quantitative suitability.

Moderator: **Evelyn Kriegel**, FINRA Long Island District Office

Panelists: **William (Bill) Givens**, Morgan Stanley | **Miriam Lefkowitz**, Summit Equities, Inc.
Justin Triolo, FINRA Long Island District Office

Common Findings Related to Books and Records

During this session, FINRA staff and industry panelists discuss common books and records findings of broker-dealers and related retention requirements, and offer effective practices to mitigate issues.

Moderator: **Thomas (Tom) Nelli**, FINRA South Region

Panelists: **Afshin Atabaki**, FINRA Office of General Counsel, Regulatory Practice & Policy
Paige Pierce, Larimer Capital Corporation | **Stephen (Steve) Youhn**, ProEquities, Inc.

12:15 p.m. – 1:15 p.m.	**Lunches: General and Small Firm Advisory Committee**
1:15 p.m. – 1:45 p.m.	**Dessert With Exhibitors**

1:45 p.m. – 2:45 p.m. Concurrent Sessions VI

Enforcement Initiatives, Developments and Priorities

This session provides an overview of new developments and trends in enforcement, including enforcement priorities. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities, and provide guidance on regulatory and compliance practices.

Moderator: **Susan Schroeder**, FINRA Enforcement

Panelists: **Jessica Hopper**, FINRA Enforcement | **Christopher (Chris) Kelly**, FINRA Enforcement
Laura Thyagarajan, FINRA Enforcement

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Implementing a Risk-Based Program and Identifying Red Flags

Panelists discuss practices observed in implementing effective risk-based branch office inspection programs. The panel also features a discussion around common findings and observations from FINRA branch exams, including examples of red flags identified.

Moderator: **David Greene**, FINRA Los Angeles District Office

Panelists: **Richard (Rich) Link**, Edward Jones | **Laura Trotz**, FINRA Chicago District Office
Donald (Don) Runkle, National Securities Corporation

MiFID Research Rule Developments and Related Issues

Beginning in 2018, investment firms subject to MiFID are required to make separate payments for investment research and execution to avoid potential conflicts of interest with clients. During this session, panelists discuss the application of the new requirements to U.S. firms, compliance challenges and effective practices.

Moderator: **Jeanette Wingler**, FINRA Office of General Counsel

Panelists: **Nikolai Fisken**, Stephens Inc. | **Michael (Mike) Mayhew**, Integrity Research Associates, LLC
Pamela Torres, Goldman, Sachs & Co.

Financial and Operational Effective Practices (Medium/Large Firm Focus)

This session provides an overview of proposed financial and operational rules and the current rulemaking environment. Join FINRA staff and industry practitioners as they discuss current financial and operational risks and issues at medium/large broker-dealer firms. Attendees also learn effective practices taken by compliance and risk professionals to monitor financial and operational risks.

Moderator: **Ornella Bergeron**, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

Panelists: **Kris Dailey**, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Michael (Mike) Macchiaroli, U.S. Securities and Exchange Commission (SEC)
Fredrick (Fred) Schrick, Stifel, Nicolaus & Co., Inc. | **Christopher (Chris) Vickery**, Nomura Securities International, Inc.

Advertising Workshop (Advertising Track)

During this highly interactive and dynamic session, attendees apply advertising rules to several mock advertisements and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.

Moderator: **Anthony Maher,** FINRA Advertising Regulation

Panelists: **Derek Ashworth**, FINRA Advertising Regulation | **Kimberly Flanders**, FINRA Advertising Regulation

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Big Data Analytics and Artificial Intelligence (FinTech Track)

Join FINRA staff and industry experts as they discuss how artificial intelligence and big data analytics are being used to enhance regulation and firm operations.

Moderator: **John Hitchingham**, FINRA Development Services

Panelists: **Todd Cook**, JPMorgan Chase & Co. | **Vincent (Vinny) Saulys**, FINRA Market Regulation, Technology
Mayur Thakur, Goldman, Sachs & Co.

2:45 p.m. – 3:00 p.m.	**Networking and Demos Break**
3:00 p.m. – 4:00 p.m.	**Concurrent Sessions VII**

Suitability, Supervision and Surveillance

Panelists discuss key issues regarding compliance with FINRA's suitability rule. They provide practical advice on how firms and registered representatives can better understand customers and securities in order to comply with the rule. They also discuss the intersection of suitability requirements with recent timely industry issues, such as senior customers, sales of complex products, concentration levels, online recommendations and share-class considerations. Finally, panelists offer insights into FINRA examinations focused on suitability issues.

Moderator: **James (Jim) Wrona**, FINRA Office of General Counsel

Panelists: **Norm Ashkenas**, Fidelity Brokerage Services, LLC | **Fred Fram**, Summit Brokerage
Wendy Lanton, Lantern Investments, Inc.

Effective Processes for Suspicious Activity Monitoring and Investigations (AML Track)

Join FINRA staff and industry practitioners as they discuss effective processes for suspicious activity monitoring and investigations into money transfer and securities activities. Panelists discuss how to establish and implement policies and procedures, as well as obligations for firms. During the session, attendees gain an understanding of the anti-money laundering regulations and steps firms can take to protect their organization.

Moderator: **Blake Snyder**, FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Panelists: **Brent Cohen**, RBC Capital Markets, LLC | **Brian Curtis**, BNY Mellon Pershing | **Becki LaPorte**, Advisor Group

Social Media and Digital Communications

FINRA and industry experts discuss the guidance provided in FINRA *Regulatory Notice 17-18*. Panelists address how firms have implemented the guidance and respond to follow-up questions. The panel also looks at emerging areas, such as how firms can stay in compliance when marketing online offerings as well as data privacy and protection.

Moderator: **Amy Sochard**, FINRA Advertising Regulation

Panelists: **Evan Charkes**, Bank of America Merrill Lynch | **Nubiaa Shabaka**, Morgan Stanley | **Robert (Bob) Salvador**, Motif

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▶ **Cybersecurity Guidance: How Small Firms Can Better Protect Their Business (Small Firm Focus)**

This session focuses on cybersecurity through the lens of a small firm, and addresses regulatory guidance and how to protect your firm from common cyber threats.

Moderator: **Gregory (Greg) Markovich**, FINRA Chicago District Office

Panelists: **Matthew (Matt) Beals**, Bolton Global Capital | **David (Dave) Kelley**, FINRA Kansas City District Office
Dwayne Roberts, Grosvenor Capital Management, L.P.

▶ **Creating an Effective Records Management and Retention Program (B2BC Track)**

This session is designed for compliance professionals who are new to the financial services industry. This Back to Basics Compliance session covers the fundamentals of recordkeeping obligations, issues to consider when deciding whether to outsource recordkeeping functions, record retention requirements relating to electronic communications, and the use of electronic storage and encryption. This session also highlights timely issues facing compliance professionals in this area, including the use of social media, Web conferencing and cloud storage. Join panelists as they identify requirements for member firms under FINRA and SEC rules, and share effective practices to help firms in their compliance efforts.

Moderator: **Joseph (Joe) Sheirer**, FINRA New Jersey District Office

Panelists: **Darla Bartkowiak**, Amherst Pierpont Securities, LLC | **John Seitzer**, HSBC Securities (USA) Inc.
Mary Ellen Williams, Lieblong & Associates, Inc.

▶ **Municipal Securities: Origination, Sales and Trading**

This session addresses regulatory developments with respect to both municipal securities broker-dealers and municipal advisors. Panelists discuss current topics, including mark-up disclosure, SEC and FINRA examination and enforcement priorities, as well as MSRB compliance support and rulemaking initiatives.

Moderator: **Cynthia (Cindy) Friedlander**, Regulatory Operations, Fixed Income Regulation

Panelists: **Margaret (Peg) Henry**, Stifel Financial Corp. | **Michael (Mike) Post**, Municipal Securities Rulemaking Board (MSRB)
Ivonia Slade, U.S. Securities and Exchange Commission (SEC)

4:00 p.m. – 4:15 p.m.	**Networking and Demos Break**
4:15 p.m. – 5:15 p.m.	**Plenary Session VII**
	▶ **Keynote Address: Fireside Chat with FINRA President and CEO Robert Cook and The Honorable Jay Clayton,** Chairman, U.S. Securities and Exchange Commission Introduction: **Robert Cook**, FINRA Speaker: **The Honorable Jay Clayton** U.S. Securities and Exchange Commission (SEC)
5:15 p.m. – 7:00 p.m.	**Networking Reception**

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Wednesday, May 23

7:30 a.m. – 11:00 a.m.	Registration and Information
7:30 a.m. – 11:00 a.m.	**Meet With Exhibitors**
7:30 a.m. – 8:30 a.m.	**General Continental Breakfast**

8:30 a.m. – 9:30 a.m.	Concurrent Sessions VIII

Outside Business Activities and 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 arising from OBAs and PSTs, and the key legal requirements of, and practical tips for, supervising such activities.

Moderator: **Ed Wegener**, FINRA Chicago District Office

Panelists: **Meredith Cordisco**, FINRA Office of General Counsel | **Jessica Pastorino**, M&A Securities Group, Inc.
Gregory (Greg) Smith, Securities America, Inc.

Market Regulation Priorities: Detecting and Preventing Misconduct

This session provides updates on market regulation priorities, including current initiatives and rulemaking. FINRA panelists share thoughts on equities, options and fixed income compliance programs.

Moderator: **Duer Meehan**, FINRA Office of Market Regulation

Panelists: **Gene DeMaio**, FINRA Market Regulation | **Jon Kroeper**, FINRA Quality of Markets
Robert Marchman, FINRA Enforcement

Building and Maintaining an Ethical Culture

This session addresses some of the professional conduct considerations for securities attorneys and compliance professionals who serve in compliance roles and how they can navigate the more common potential ethical quandaries they may face.

Moderator: **Patricia Albrecht**, FINRA Member Relations and Education

Panelists: **Marion Halliday**, Janney Montgomery Scott, LLC
Michael (Mike) Rufino, FINRA Member Regulation, Office of Sales Practice | **Kurt Schacht**, JD, CFA, CFA Institute

General Brokerage Communication Trends (Advertising Track)

Panelists from FINRA and the industry discuss advertising compliance and sales practice issues applicable to general brokerage firms and their registered representatives. Industry panelists explore advertising compliance challenges and how they address the advertising rules with respect to dually registered representatives, marketing materials created by third parties, and new investment products. This panel also covers current areas of interest, such as business development companies, private placements and research reports.

Moderator: **David (Dave) Roscum**, FINRA Advertising Regulation

Panelists: **Stephanie Gregory**, FINRA Advertising Regulation | **Kimberly Johnson**, LPL Financial, LLC
Robert (Bob) Sondheim, E*TRADE Securities LLC

AML = Anti-Money Laundering Track **B2BC =** Back to Basics Compliance Track **FinTech =** FinTech Track **Advertising =** Advertising Track

Mock Examination (B2BC Track) Repeat Session

This Back to Basics Compliance session focuses on what you can expect during a FINRA firm examination. During this session, panelists review the steps involved in firm examinations, explore FINRA's approach to risk-based examinations, outline roles and responsibilities of members of the surveillance staff and examination team, highlight the expectations of the member firm staff, discuss strong practices observed by the examination staff, and summarize the various types of examinations.

Moderator: **Scott DeArmey**, FINRA Kansas City District Office

Panelists: **Eric Bederman**, Romano Wealth Management | **Robert (Bob) Brunton**, Edward Jones
Robert (Rob) Gnoinski, FINRA Kansas City District Office

Initial Coin Offerings (ICOs) and Cryptocurrency (FinTech Track)

Join FINRA staff, regulators, and industry experts as they discuss the rapidly evolving developments in the areas of initial coin offerings and cryptocurrencies, and related market and regulatory challenges.

Moderator: **Kavita Jain**, FINRA Emerging Regulatory Issues

Panelists: **James (Jim) Dowd,** CFA, North Capital Private Securities | **Richard Levin**, Polsinelli PC
Valerie Szczepanik, U.S. Securities and Exchange Commission (SEC)

9:30 a.m. – 9:45 a.m.	**Networking Break**

9:45 a.m. – 10:45 a.m. Concurrent Sessions IX

How to Leverage Millennials, Gen Z and the Largest Transfer of Wealth in History

In the coming years, trillions of dollars will be changing hands from Boomers to Millennials and Generation Z. The financial behaviors and attitudes of these two generations are very different. The financial services industry needs to change in order to meet their needs. During this session, panelists discuss ways firms are responding to this new generation to help them achieve a new set of financial goals.

Moderator: **Thomas (Tom) Mellett**, FINRA San Francisco District Office

Panelists: **Alan Carlisle**, SoFi Securities, LLC | **David Martin**, American Global Wealth Management, Inc.
Gary Mottola, FINRA Office of Investor Education

Membership Application Program (MAP)

Attend this session to learn about FINRA's Membership Application Program (MAP). Discussions include an overview of the application process—including MAP's fast track/expedited review process as well as materiality consultations— and tips for filing an application and avoiding common pitfalls. Additionally, panelists discuss recommendations from the Retrospective Review of the MAP rules.

Moderator: **Alissa (Lisa) Robinson**, FINRA Membership Application Program

Panelists: **Patricia (Pat) Dorilio**, FINRA Member Application Program | **James (Jim) Webb**, Cape Securities, Inc.
James (Jim) Williams, Financial Telesis Inc.

▶ What You Need to Know About Capital Formation

During this session, panelists discuss the outlook for the capital markets and the securities industry.

Moderator: **Paul Mathews**, FINRA Corporate Financing

Panelists: **Steven Brown**, Morgan Stanley | **Kevin Gannon**, Robert A Stanger & Co.
Gary Goldsholle, U.S. Securities and Exchange Commission (SEC)

▶ Arbitration Procedures and Practical Tips

During this interactive session, attendees learn about arbitration procedures, strategies to succeed, and proposals for changes to the forum.

Moderator: **Richard (Rick) Berry**, FINRA Dispute Resolution Executive Management

Panelists: **Steven (Steve) Caruso**, Maddox Hargett & Caruso, P.C. | **Darya Geetter**, LPL Financial, LLC
Patricia Horan Latham, FINRA Arbitrator

▶ Liquidity and Market Risk (Medium/Large Firm Focus)

Attend this session for insights around liquidity and market risk for medium and large firms.

Moderator: **Rosemarie Fanelli**, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

Panelists: **Kris Dailey**, Office of Risk Oversight and Operational Regulation
James (Jim) Giles, U.S. Securities and Exchange Commission (SEC) | **Jeffrey (Jeff) Marcus**, Cantor Fitzgerald & Co.
Stephanie Weiss, Mizuho Securities USA

▶ AML Challenges

Join FINRA staff and industry experts as they discuss changes impacting the financial services industry, and policy makers in the current AML and financial crime environment. Topics covered include the new Customer Due Diligence (CDD) rule, the intersection of cybersecurity, senior investors and AML for financial institutions, including regulatory requirements and expectations related to SAR filings on cyber events and elder exploitation.

Moderator: **Jason Foye**, FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Panelists: **Mitch Atkins**, FirstMark Regulatory Solutions, Inc. | **James (Jim) Fiebelkorn**, Ameriprise Financial, Inc.
Lourdes Gonzalez, U.S. Securities and Exchange Commission (SEC)

10:45 a.m. – 11:00 a.m.	**Networking Break**

11:00 a.m. – 12:00 p.m.	Plenary Session VIII	
	▶ **Ask Senior FINRA Staff** During this session, FINRA senior staff provide an update on key regulatory issues, including examinations, surveillance, enforcement, trading and markets, rules and policy. Panelists address questions relating to FINRA's risk-based examination program, disciplinary actions, fraud investigations, market regulation programs, and new and anticipated rules, among other things. Note: Firm-specific questions can be discussed one-on-one with FINRA staff during conference Office Hours. Moderator: **Chip Jones**, FINRA Member Relations and Education Panelists: **Robert (Bob) Colby**, FINRA Chief Legal Office **Cameron (Cam) Funkhouser**, FINRA Office of Fraud Detection and Market Intelligence **Thomas (Tom) Gira**, FINRA Market Regulation **Michael (Mike) Rufino**, FINRA Member Regulation, Sales Practice **Susan Schroeder**, FINRA Enforcement **William (Bill) Wollman**, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation	
12:00 p.m.	Conference Adjourns	

Keynote Speaker Bios

Robert Cook
President and Chief Executive Officer, *FINRA*

Robert Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission (SEC). Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on proposed rule filings and new product listings from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing a range of initiatives and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure.

Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters.

Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.

The Honorable Jay Clayton
Chairman, *U.S. Securities and Exchange Commission*

Jay Clayton was nominated to chair the U.S. Securities and Exchange Commission (SEC) on January 20, 2017, by President Donald Trump and sworn in on May 4, 2017.

Since joining the Commission, Chairman Clayton has focused on the long-term interests of America's retail investors, a perspective he shares with the SEC staff. Chairman Clayton has made it a priority to increase the access of retail investors to a diverse range of investment opportunities and see that they continue to benefit from the protections of our securities laws. Key areas of focus for Chairman Clayton include: making our capital markets more accessible to businesses and investors alike, while ensuring the United States continues to be the world's leader in terms of effective disclosure and other investor protections; and examining and addressing equity and fixed income market structure issues with an emphasis on fairness, efficiency and resiliency, recognizing that our markets are ever-changing.

Chairman Clayton also has been outspoken on securities law issues related to distributed ledger technology, cryptocurrencies and initial coin offerings. Prior to joining the Commission, Chairman Clayton was a partner at Sullivan & Cromwell LLP, where he was a member of the firm's Management Committee and co-head of the firm's corporate practice.

Chairman Clayton has authored publications on securities law, cybersecurity, and other regulatory issues, and from 2009 to 2017 he was a Lecturer in Law and Adjunct Professor at the University of Pennsylvania Law School. Prior to joining Sullivan & Cromwell, Chairman Clayton served as a law clerk for the Honorable Marvin Katz of the U.S. District Court for the Eastern District of Pennsylvania. A member of the New York and Washington, D.C. bars, Chairman Clayton earned a B.S. in Engineering from the University of Pennsylvania (*summa cum laude*), a B.A. and M.A. in Economics from the University of Cambridge (Thouron Scholar), and a J.D. from the University of Pennsylvania Law School (*cum laude*, Order of the Coif).

Keynote Speaker Bios *(continued)*

Mr. Brett Redfearn
Director, Division of Trading and Markets, *U.S. Securities and Exchange Commission*

Brett Redfearn was named the U.S. Securities and Exchange Commission's Director of the Division of Trading and Markets in October 2017. Mr. Redfearn joins the SEC from J.P. Morgan, where he was Global Head of Market Structure for the Corporate and Investment Bank. Mr. Redfearn has a long history in the U.S. equity markets, having worked with investors, exchanges and broker-dealers. During his career, he has focused on how technology, regulation and business trends are changing trading patterns across asset classes and geographic regions. He has helped build electronic trading products, worked closely with exchanges and other trading venues as these products evolved, and engaged with global asset managers on major regulatory developments. He has also been a frequent contributor at policy forums surrounding U.S. equity markets, and has been an active participant at several meetings of the SEC's Equity Market Structure Advisory Committee. He has served as Chairman of SIFMA's Equity Markets and Trading Committee and was a participant on the Security Traders Association (STA) Market Structure Analysts Committee and the Canadian STA (CSTA's) Trading Issues Committee. Previously, Mr. Redfearn has served on the boards of Bats Global Markets, BATS Exchange, the National Organization of Investment Professionals, the Chicago Stock Exchange, and BIDS Trading. Mr. Redfearn earned his M.A. in political science from the New School for Social Research and his B.A. from the Evergreen State College in Olympia, Washington.

Tips From the Top *(Confirmed speakers as of May 11, 2018)*

Gabriela Aguero	FINRA Corporate Financing
Patricia Albrecht	FINRA Member Relations and Education
Katie Andrews	FINRA Market Operations
James (Jim) Angel	Georgetown University's McDonough School of Business
Alma Angotti	Navigant
Norm Ashkenas	Fidelity Brokerage Services, LLC
Derek Ashworth	FINRA Advertising Regulation
Marcia Asquith	FINRA Board and External Relations
Afshin Atabaki	FINRA Office of General Counsel, Regulatory Practice & Policy
Mitch Atkins	FirstMark Regulatory Solutions, Inc.
Darla Bartkowiak	Amherst Pierpont Securities, LLC
Matthew (Matt) Beals	Bolton Global Capital
Eric Bederman	Romano Wealth Management
Bill Bell	FINRA Philadelphia District Office
Ornella Bergeron	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Alan Berkeley	K&L Gates
Richard (Rick) Berry	FINRA Dispute Resolution Executive Management
Laura Leigh Blackston	FINRA Enforcement
Kevin Bogue	FINRA Chicago District Office

John Bridges	Winslow, Evans, and Crocker, Inc.
Steven Brown	Morgan Stanley
Don Bruns	FINRA Web Services
Robert (Bob) Brunton	Edward Jones
Lance Burkett	FINRA Denver District Office
Amie Caban	Guggenheim Partners
Albert (Al) Caiazzo	First Clearing
Tracy Calder	LPL Financial, LLC
Alan Carlisle	SoFi Securities, LLC
Steven Caruso	Maddox Hargett & Caruso, P.C.
Mark Catana	JPMorgan Chase & Co.
Patrick Caulfield	Lincoln Financial Group Distribution, Inc.
Anthony (Tony) Cavallaro	FINRA Office of Fraud Detection and Market Intelligence
The Honorable Jay Clayton	U.S. Securities and Exchange Commission (SEC)
Ronald (Ron) Chan	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Evan Charkes	Bank of America Merrill Lynch
Robert (Bob) Cohen	U.S. Securities and Exchange Commission (SEC)
Brent Cohen	RBC Capital Markets, LLC
Robert (Bob) Colby	FINRA Chief Legal Office
Christopher (Chris) Cook	FINRA Office of the Ombudsman
Robert Cook	FINRA
Todd Cook	JPMorgan Chase & Co.

Meredith Cordisco	FINRA Office of General Counsel
Mark Cresap	Cresap, Inc.
Amber Crouch	Crews & Associates, Inc.
Cathy Cucharale	M. Griffith Investment Services, Inc.
Brian Curtis	BNY Mellon Pershing
Stephen Cutler	Simpson, Thacher & Bartlett
Kris Dailey	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Pramit Das	FINRA Advertising Regulation
Carol Anthony (John) Davidson	FINRA Public Governor
Gregory (Greg) Dean	FINRA Office of Government Affairs
Scott DeArmey	FINRA Kansas City District Office
Gene DeMaio	FINRA Market Regulation
Jennifer Diamantis	U.S. Securities and Exchange Commission (SEC)
Patricia Dorilio	FINRA Member Application Program
James (Jim) Dowd, CFA	North Capital Private Securities
Thomas (Tom) Drogan	FINRA Member Regulation, Office of Sales Practice
Kristen Dugan	Bank of America
Laurie Dzien	FINRA Office of General Counsel
Noah Egorin	FINRA Registration and Disclosure's Business Development and Innovation

Rosemarie Fanelli	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
James Fiebelkorn	Ameriprise Financial, Inc.
Eric Field	Robert W. Baird & Co. Inc.
Nikolai Fisken	Stephens Inc.
Kimberly Flanders	FINRA Advertising Regulation
Karrie Foley	FINRA Member Relations and Education
Jeffrey (Jeff) Fortune	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Jason Foye	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Fred Fram	Summit Brokerage
Cynthia (Cindy) Friedlander	FINRA Regulatory Operations, Fixed Income Regulation
Cameron (Cam) Funkhouser	FINRA Office of Fraud Detection and Market Intelligence
Kevin Gannon	Robert A Stanger & Co.
Darya Geetter	LPL Financial, LLC
Scott Gilbert	FINRA New York District Office
James Giles	U.S. Securities and Exchange Commission (SEC)
Thomas (Tom) Gira	FINRA Market Regulation
William (Bill) Givens	Morgan Stanley
Lloyd Glavocich	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Robert (Rob) Gnoinski	FINRA Kansas City District Office

Angela Goelzer	FINRA Office of Regulatory Analysis
Gary Goldsholle	U.S. Securities and Exchange Commission (SEC)
Susanne Goldsmith	FINRA Member Relations and Education
Lourdes Gonzalez	U.S. Securities and Exchange Commission (SEC)
Sarah Green	Vanguard
David Greene	FINRA Los Angeles District Office
Stephanie Gregory	FINRA Advertising Regulation
Marion Halliday	Janney Montgomery Scott, LLC
Robert (Bob) Hamman	First Asset Financial, Inc.
Patricia Hatzfeld	FINRA Office of Sales Practice
Nathan Headrick	Triloma Securities
Elizabeth (Liz) Heimlich	FINRA Office of the Ombudsman
Margaret (Peg) Henry	Stifel Financial Corp.
Jeffrey Herrmann	FINRA New York District Office
John Hitchingham	FINRA Development Services
Ivy Ho	FINRA Industry and Investor Technology
Jessica Hopper	FINRA Enforcement
Patricia Horan Latham	FINRA Arbitrator
Kavita Jain	FINRA Emerging Regulatory Issues
Kimberly Johnson	LPL Financial, LLC
Chip Jones	FINRA Member Relations and Education
Elizabeth Kaplan	J.J.B. Hilliard, W.L. Lyons, LLC

David (Dave) Kelley	FINRA Kansas City District Office
Christopher (Chris) Kelly	FINRA Enforcement
Boris Khentov	Betterment Securities
Scott Kirwin	Fidelity Investments, LLC
Stephen Kohn	Stephen A. Kohn & Associates, Ltd.
Daniel (Dan) Kosowsky	Morgan Stanley
Demetrios (Jay) Koutros	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Brian Kovack, Esq.	Kovack Securities, Inc.
Evelyn Kriegel	FINRA Long Island District Office
Jon Kroeper	FINRA Quality of Markets
Wendy Lanton	Lantern Investments, Inc.
Becki LaPorte	Advisor Group
Shelly Lazarus	FINRA Public Governor/ Ogilvy & Mather
Audria Lee	FINRA HR Diversity and Worklife
Mathieu (Matt) Lefevre	FINRA Member Relations and Education
Miriam Lefkowitz	Summit Equities, Inc.
Melinda (Mimi) LeGaye	Moody Securities, LLC
Richard Levin	Polsinelli PC
Elliot Levine	FINRA Transparency Services
Erin Linehan, Esq.	Raymond James Financial, Inc.
Richard (Rich) Link	Edward Jones
Ronald (Ron) Long	Well Fargo Advisors

Mark Lontchar	Raymond James Financial Services, Inc.
Donald (Don) Lopezi	FINRA West Region
Michael (Mike) Macchiaroli	U.S. Securities and Exchange Commission (SEC)
Anthony Maher	FINRA Advertising Regulation
Robert Marchman	FINRA Enforcement
Jeffrey (Jeff) Marcus	Cantor Fitzgerald & Co.
Gregory (Greg) Markovich	FINRA Chicago District Office
Karin Marshall	FINRA Registration and Disclosure's Regulatory Review and Disclosure Unit
David Martin	American Global Wealth Management, Inc.
Paul Mathews	FINRA Corporate Financing
Michael Mayhew	Integrity Research Associates, LLC
Ann McCague	Piper Jaffray & Co.
Joseph (Joe) McDonald	FINRA Testing and Continuing Education
Shawn McLaughlin	McLaughlin Ryder Investments, Inc.
Duer Meehan	FINRA Office of Market Regulation
Thomas (Tom) Mellett	FINRA San Francisco District Office
Kevin Miller	Securities America, Inc.
Gil Mogavero	JMP Securities, LLC
Gary Mottola	FINRA Office of Investor Education
Robert (Bob) Muh	Sutter Securities Incorporated
Kathleen Murphy	Fidelity Investing

Linde Murphy	M.E. Allison & Co., Inc.
Joseph (Joe) Nadreau	Wells Fargo Advisors
Thomas (Tom) Nelli	FINRA South Region
Ted Newton	MassMutual Financial Group
Steven (Steve) O'Mara	FINRA Advertising Regulation
Nicholas (Nick) Ostroy	Municipal Securities Rulemaking Board (MSRB)
Elizabeth (Liz) Page	FINRA Boston District Office
Yvette Panetta	FINRA Boca Raton District Office
Thomas (Tom) Pappas	FINRA Advertising Regulation
Jessica Pastorino	M&A Securities Group, Inc.
Audria Pendergrass Lee	FINRA HR Diversity and Worklife
Ola Persson	FINRA Transparency Services
Paige Pierce	Larimer Capital Corporation
Steven (Steve) Polansky	FINRA Regulatory Operations/ Shared Services
Michael (Mike) Post	Municipal Securities Rulemaking Board (MSRB)
Joseph (Joe) Price	FINRA Corporate Financing/ Advertising Regulation
Rocco (Rocky) Procopio	Morgan Stanley Wealth Management
Brett Redfearn	Division of Trading and Markets, U.S. Securities and Exchange Commission (SEC)
Rob Ries	FINRA Enterprise Data Platforms
Gregory (Gregg) Riviello	FINRA Advertising Regulation
Dwayne Roberts	Grosvenor Capital Management, L.P.

Alissa (Lisa) Robinson	FINRA Membership Application Program
Joseph (Joe) Romano	Romano Wealth Management
David (Dave) Roscum	FINRA Advertising Regulation
Lisa Roth	Tessera Capital Partners, LLC
Philip (Phil) Rothman	Fidelity Capital Markets
Michael (Mike) Rufino	FINRA Member Regulation, Sales Practice
Donald (Don) Runkle	National Securities Corporation
Greg Ruppert	Charles Schwab & Co., Inc.
Hillary Sale	Washington University in St. Louis and FINRA Public Governor
Robert (Bob) Salvador	Motif Investing, Inc.
Vijay Sankaran	TD Ameritrade
Vincent (Vinny) Saulys	FINRA Market Regulation, Technology
Joseph (Joe) Savage	FINRA Office of Regulatory Analysis
Holly Scavetta	FINRA Member Relations and Education
Kurt Schacht, JD, CFA	CFA Institute
Alexander (Alex) Schneble	Robert W. Baird & Co. Inc.
Fredrick (Fred) Schrick	Stifel, Nicolaus & Co., Inc.
Susan Schroeder	FINRA Enforcement
David (Dave) Scrams	FINRA Continuing Education
Gregory (Greg) Scroggs	Primearica

Alexander (Alex) Sedgwick	T. Rowe Price
Thomas (Tom) Selman	FINRA Office of Regulatory Analysis
Aaron Seres	Federal Bureau of Investigation (FBI)
Nubiaa Shabaka	Morgan Stanley
Philip (Phil) Shaikun	FINRA Office of General Counsel
Joseph (Joe) Sheirer	FINRA New Jersey District Office
Mary Simonson	Advisor Group, Inc.
Ivonia Slade	U.S. Securities and Exchange Commission (SEC)
Gregory (Greg) Smith	Securities America, Inc.
Blake Snyder	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Amy Sochard	FINRA Advertising Regulation
Michael Solomon	FINRA Northeast Region
Robert (Bob) Sondheim	E*TRADE Securities LLC
William (Bill) St. Louis	FINRA New York and Long Island District Offices
Lawrence (Larry) Stadulis	Stradley Ronon Stevens & Young, LLP
Daniel (Dan) Stefek	FINRA Atlanta District Office
Harry Striplin	Umpqua Investments, Inc.
Kelly Swanstrom	FINRA Testing & Continuing Education

For more information and to register, please visit *www.finra.org/2018annualconference*

William (Bill) Swanstrom	FINRA Membership Gateway
Valerie Szczepanik	U.S. Securities and Exchange Commission (SEC)
Irmina Tan	FINRA Business Solutions–Reg Ops
Joseph (Joe) Terry	Signator Investors, Inc.
Mayur Thakur	Goldman, Sachs & Co.
Lara Thyagarajan	FINRA Enforcement
Pamela Torres	Goldman, Sachs & Co.
Alexandra (Alex) Toton	FINRA Testing and Continuing Education
Justin Triolo	FINRA Long Island District Office
Laura Trotz	FINRA Chicago District Office
Paul Tyrrell	Sidley Austin, LLP
John Veator	FINRA Member Relations and Education
Christopher (Chris) Vickery	Nomura Securities International Inc.
Erin Vocke	FINRA Dallas and New Orleans District Offices
Barbara Voute'	Municipal Securities Rulemaking Board (MSRB)
Hardeep Walia	Motif
Gerri Walsh	FINRA Office of Investor Education
Elisse Walter	FINRA Public Governor/ Retired from the U.S. Securities and Exchange Commission (SEC)

Thomas (Tom) Weaverling	FINRA Membership Gateway
James (Jim) Webb	Cape Securities, Inc.
Ed Wegener	FINRA Chicago District Office
Stephanie Weiss	Mizuho Securities USA
John Weitzer	HSBC Securities (USA) Inc.
James (Jim) Williams	Financial Telesis Inc.
Mary Ellen Williams	Lieblong & Associates, Inc.
Jeanette Wingler	FINRA Office of General Counsel
William (Bill) Wollman	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Haimera (Haime) Workie	FINRA Emerging Regulatory Issues
James (Jim) Wrona	FINRA Office of General Counsel
David (Dave) Yacono	FINRA Cyber & Information Security
Stephen (Steve) Youhn	ProEquities, Inc.

For more information and to register, please visit *www.finra.org/2018annualconference*

Opportunities for New Connections

Continuing Education (CE) Credits

The FINRA Annual Conference is eligible for CRCP and CFP continuing education (CE) credits—and depending on your jurisdiction, is eligible for CLE credits.

Networking Opportunities

Take advantage of 15+ networking opportunities throughout the conference to expand your network and meet with industry peers, committee members and FINRA staff. Networking events include:

- **Breakfast With FINRA Member Regulation Senior Staff** – share ideas and meet with representatives from several FINRA district offices
- **Certified Regulatory and Compliance Professional (CRCP)® Lunch** – network with CRCP alumni and obtain details on how to join an elite group of compliance professionals
- **Diversity and Inclusion Lunch** – featuring a special guest speaker
- **Networking Reception** – a relaxed atmosphere to share ideas with colleagues, regulators and peers
- **Exclusive Opening-Night Reception at the Smithsonian National Portrait Gallery** – see the special events section below for more information
- **Small Firm Advisory Committee (SFAC) Lunch** – meet with Small Firm Advisory Committee (SFAC) members and small firm attendees to discuss topics of particular interest
- **And Many More**

SPECIAL NETWORKING EVENTS

Opening-Night Reception at the Smithsonian National Portrait Gallery

Join us at the Smithsonian National Portrait Gallery for an exclusive opening night reception. Explore a collection of portraits in several galleries—featuring presidents, scientists, activists, actors and much more—while networking with regulators and industry peers. Participate in interactive activities, network with peers in one of the dining areas and/or relax in the courtyard under the glass canopy. Want to bring a guest? Visit the website for more information.

Back to Basics Compliance (B2BC) Program

Back by popular demand, industry professionals with less than five years of experience can take part in the special B2BC program—with expanded opportunities for discussion and to ask questions. The program is designed to deliver a full understanding of key regulations, industry issues and compliance strategies from the viewpoint of a newer industry professional.

2018 Office Hours Schedule

Office Hours

Meet one-on-one with FINRA staff to discuss firm-specific questions. Sign up for a 15-minute appointment through the conference app or visit the Information Booth on level 3.

- Advertising Regulation
- Anti-Money Laundering (AML)
- Financial Responsibility Rules
- FINRA Membership Application Program (MAP)
- Financial Technology (FinTech)
- Fixed Income/Municipal Bonds
- Member Regulation
- Priorities Letter and the Examination Findings Report
- Qualification, Examination and Continuing Education
- Registration and Disclosure (RAD)
- Senior Investor Issues

Office Hours provides an opportunity for conference attendees to meet one-on-one with FINRA staff. Several FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions and issues. Attendees can make an appointment via the conference app or onsite at the Information Desk on level 3.

Monday, May 21	Farragut North	Eastern Market	LeDroit Park	Judiciary Square
11:15 a.m. – 12:15 p.m.	**Member Regulation – Midwest Region** *FINRA Staff: Scott DeArmey*	**Qualification, Examination & Continuing Education** *FINRA Staff: Joe McDonald and David Scrams*	**Financial Technology (FinTech)** *FINRA Staff: Kavita Jain and Tom Mellett*	**Member Regulation – North Region** *FINRA Staff: Joe Sheirer*
1:45 p.m. – 2:45 p.m.	**Advertising Regulation** *FINRA Staff: Pramit Das and Steve O'Mara*	**Registration and Disclosure (RAD)** *FINRA Staff: Karin Marshall*	**Member Regulation – New York Region** *FINRA Staff: Evelyn Kriegel*	**Senior Investor Issues** *FINRA Staff: Yvette Panetta*
3:00 p.m. – 4:00 p.m.	**Priorities Letter and Examination Findings Report** *FINRA Staff: Steve Polansky*	**Anti-Money Laundering (AML)** *FINRA Staff: Jason Foye*	**Member Regulation – West Region** *FINRA Staff: Tom Mellett*	**Registration and Disclosure (RAD)** *FINRA Staff: Karin Marshall*
Tuesday, May 22	**Farragut North**	**Eastern Market**	**LeDroit Park**	**Judiciary Square**
10:00 a.m. – 11:00 a.m.	**Priorities Letter and Examination Findings Report** *FINRA Staff: Steve Polansky*	**FINRA Membership Application Program (MAP)** *FINRA Staff: Lisa Robinson and Patricia Dorilio*	**Financial Responsibility Rules** *FINRA Staff: Kris Dailey*	**Fixed Income/ Municipal Bonds** *FINRA Staff: Cindy Friedlander*
11:15 a.m. – 12:15 p.m.	**Advertising Regulation** *FINRA Staff: Derek Ashworth and Kimberly Flanders*	**Anti-Money Laundering (AML)** *FINRA Staff: Blake Snyder*	**Financial Technology (FinTech)** *FINRA Staff: Kavita Jain and Steve Polansky*	**Senior Investor Issues** *FINRA Staff: Yvette Panetta*
1:45 p.m. – 2:45 p.m.	**Member Regulation – West Region** *FINRA Staff: Lance Burkett*	**Member Regulation – Midwest Region** *FINRA Staff: Ed Wegener*	**Fixed Income/ Municipal Bonds** *FINRA Staff: Ola Persson*	**Member Regulation – South Region** *FINRA Staff: Erin Vocke*
3:00 p.m. – 4:00 p.m.	**Advertising Regulation** *FINRA Staff: Anthony Maher and Derek Ashworth*	**Financial Responsibility Rules** *FINRA Staff: Rosemarie Fanelli*	**Financial Technology (FinTech)** *FINRA Staff: Haime Workie and Noah Egorin*	**FINRA Membership Application Program (MAP)** *FINRA Staff: Lisa Robinson and Patricia Dorilio*

Tools, Tips and Resources *(As of May 11, 2018)*

Tools, Tips and Resources

Meet with FINRA and MSRB staff for demonstrations, and tips for using FINRA online tools; and connect with representatives from various FINRA departments to learn about FINRA initiatives, resources, and to provide feedback or get answers to questions.

Booth Descriptions

Cybersecurity Effective Practices

FINRA cybersecurity experts will provide insight into FINRA's cybersecurity program and discuss any cybersecurity questions you may have. Learn more about the controls FINRA employs to protect your data, and come away with ideas that you can take back to improve your firm's own cybersecurity posture.

FINRA.org Redesign

In late 2018, FINRA will launch a new design of FINRA.org, which will include improved search, streamlined navigation and a crisper design. Highlights include new portals for compliance professionals, media professionals, registered representatives and exam candidates.

FINRA's Request Manager and Data Intake Systems

Do you want to learn more about FINRA's Request Manager and how to respond to data requests? FINRA staff is available to review upcoming enhancements to Request Manager and the Forms and Filings application. We want to hear about your current data exchange experience, as well as thoughts you might have regarding future improvements.

Firm Compliance Resources

Are you looking for helpful compliance resources? FINRA staff will be available to demonstrate firm resources, including the enhanced versions of the Compliance Calendar of the Compliance Vendor Directory (CVD), the Firm Gateway, the Weekly Update email, the Peer-to-Peer (P2P) Compliance Library, and other tools and templates available to assist member firms' compliance with FINRA rules and regulations.

Fixed Income, Fund Analyzer, TRAQS & Report Center

FINRA staff will be available to discuss many of the resources FINRA provides to assist with compliance activities, including new and updated report cards, the new version of FINRA's Fund Analyzer, Trade Reporting and Quotation Service (TRAQS), and equity/fixed income offerings currently in development.

Meet MSRB EMMA®

Staff from the Municipal Securities Rulemaking Board (MSRB) will be available to demonstrate the Electronic Municipal Market Access (EMMA) website. EMMA is an online platform dedicated to bringing greater transparency to the municipal bond market. The MSRB, which is the primary regulator of the municipal market, operates the EMMA website in support of its mission to protect investors, state and

local governments, and the public interest. EMMA is the official repository for information on virtually all municipal securities and a key way the MSRB promotes a fair and efficient municipal market. EMMA serves as a resource to help investors and their financial professionals:

- learn about the municipal securities market;
- evaluate the features and risks of specific municipal bonds; and
- monitor municipal securities investments.

Office of the Ombudsman

FINRA's Office of the Ombudsman is an independent, neutral, and confidential resource that receives and addresses concerns, whether anonymous or not, from any source about operations, enforcement, or other FINRA activities or any of its staff members. You should contact the Ombudsman's Office if you believe you cannot resolve the concern through normal channels, cannot determine the proper avenue for handling your concern, or if you require anonymity. As an impartial party, the ombudsman considers the interests and concerns of all parties in the situation, with the objective of achieving a fair outcome.

Securities Industry Essentials Exam (SIE)

Visitors to this booth will be able to learn about the October 1, 2018 introduction of the Securities Industry Essentials Exam and the restructuring of the representative-level qualifications exam program. In addition, visitors can inquire about the implementation of the consolidated FINRA registration rules.

The New CRD® and the Financial Professional (FinPro) Gateway

The new CRD will deliver an easy-to-use, efficient, flexible, collaborative, and integrated licensing management system for members and their associated persons; and FinPro will eliminate manual processes taking up valuable resources today. See what is envisioned, how these systems will be responsive to different firm sizes and models, when you should expect to see changes, and how to get involved in the new user experience.

Registration Information

How to Register

To register, visit *www.finra.org/2018annualconference* and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis.

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 100 in-person registrants is non-refundable. For all other registration categories, a full refund—less a $150 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after May 7, 2018.

Two Ways to Participate

Attend in person

Attend the conference in person and take advantage of unique networking opportunities to connect with industry peers and regulators and meet one-on-one with FINRA staff.

Live online broadcast

Because some sessions are video broadcast live, those who cannot attend in person can participate via live online broadcast streamed over the Internet. Participants can choose a session to view, and can toggle between other live video sessions in real time.

Only the sessions recorded will be made available after the conference for on-demand access, so participants can catch up on any sessions they missed live. In addition, online participants receive access to all conference materials, and can ask questions.

Questions? Please direct questions about registration to (202) 728-6980 or email *conreg@finra.org*.

***Please note:** Live broadcast sessions are marked with "📹" throughout the agenda.*

For more information and to register, please visit *www.finra.org/2018annualconference*

Registration Fees

Registration Fees	First 100 Through 10/01/17	Up to 500 Through 3/31/18	500+ or After 3/31/18
In Person – Individual			
FINRA Member (Must provide valid Firm CRD #)	$795	$1,395	**$1,595**
FINRA Member (Small Firms)**	$595	$595	**$595**
Attorney (Must provide valid bar ID #)	$1,095	$1,695	**$1,895**
Government/Regulator	$795	$995	**$1,195**
Non-Member	$1,395	$1,995	**$2,195**
Guest (Receptions Only)	$110	$110	**$110**
In Person – Group* (Per Person)			
FINRA Member (Must provide valid Firm CRD #)	$795	$1,180	**$1,340**
Attorney (Must provide valid bar ID #)	$1,095	$1,440	**$1,610**
Non-Member	$1,395	$1,690	**$1,860**

Live Broadcast	Multi-Viewer License Fees
FINRA Member (Must provide valid Firm CRD #)	**$2,800**
FINRA Member (Small Firms)**	**$600**
Attorney/Non-Member	**$5,000**
Government/Regulator	**$2,800**

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

** FINRA will verify firm size prior to confirmation.

For more information and to register, please visit *www.finra.org/2018annualconference*

Hotel and Travel Information

The 2018 Annual Conference takes place at:

Marriott Marquis Washington, DC
901 Massachusetts Avenue, NW
Washington, DC 20001

Hotel Reservations

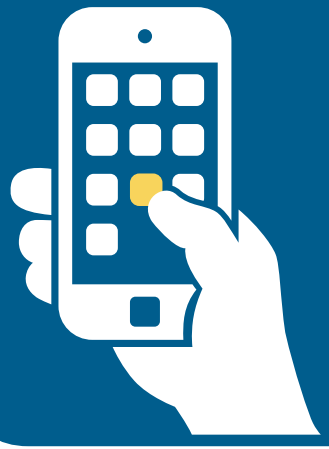
The room block at the Marriott Marquis Washington, DC is **sold out**.

As an alternative, please check out other surrounding hotels in the area. We have provided a short list of hotels on our website.

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.



2018 FINRA **Annual Conference App**

Our conference app is created specifically for the Annual Conference; 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.

For more information and to register, please visit *www.finra.org/2018annualconference*

Exhibitors (as of 5/8/18)

ACA Compliance Group
Bates Group, LLC
Business Information Group, Inc.
BW Cyber Service
CellTrust Corporation
CFM Partners, Inc.
Charles Schwab Compliance Solutions
Compliance Risk Concepts LLC
Docupace
DST Systems, Inc.
Entreda
Exam FX
Fidelity Information Services, LLC (FIS)
Fidelity Investments
Global Relay
Hearsay Systems
intapp
INTL FCStone Financial Inc.
Iron Mountain
Kaplan
Knopman Marks Financial Training
Mercer
Micro Focus
MyComplianceOffice
MyRepChat (ionlake)
n-Tier Financial Services, LLC
Nasdaq
National Regulatory Services
National Society of Compliance Professionals (NSCP)
NCS Regulatory Compliance
NICE Actimize
Nuance Communications
Peleman Industries, Inc.
Pinpoint Global Communications
Prometric
Proofpoint
Quest CE
Questionmark
Red Oak Compliance Solutions
RegEd, Inc.
SDDco
Securities Training Corporation
SiteQuest Technologies
Smarsh
Solomon Exam Prep
Sterling Talent Solutions
TD Ameritrade
TeleMessage
Thomson Reuters
Training Consultants, LLC
Vertafore
Withum
Wolters Kluwer
Zix

PLATINUM-LEVEL EXHIBITOR	Smarsh
GOLD-LEVEL EXHIBITORS	Proofpoint Zix
SILVER-LEVEL EXHIBITOR	TD Ameritrade

For more information and to register, please visit *www.finra.org/2018annualconference*