

2023 **FINRA**
ANNUAL CONFERENCE



FUTURE FOCUSED

FINRA's premier event—the Annual Conference provides the opportunity for practitioners, peers and regulators to exchange ideas on today's most timely compliance and regulatory topics. The conference offers a broad range of topics including regulatory compliance, risk management, crypto asset developments, trends and threats in financial crimes and the evolution of branch office inspections, among others.

Monday, May 15		<i>All sessions are listed in Eastern Time.</i>
5:00 p.m. – 7:00 p.m.	Registration & Information	
Tuesday, May 16		
7:30 a.m. – 6:00 p.m.	Registration & Information	
7:30 a.m. – 10:00 a.m.	General Breakfast & Seating	
10:00 a.m. – 10:10 a.m.	▶ Plenary Session—Welcome Remarks	
10:10 a.m. – 10:30 a.m.	▶ Plenary Session—Keynote Address	
10:30 a.m. – 11:00 a.m.	▶ Plenary Session—Fireside Chat	
11:00 a.m. – 11:15 a.m.	▶ Break	
	<ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors 	
11:15 a.m. – 12:15 p.m.	▶ Concurrent Sessions	
	<p>▶ Current Trends and Threats in Financial Crimes: A Conversation With FBI Deputy Director Paul M. Abbate and U.S. Department of the Treasury Under Secretary for Terrorism and Financial Intelligence Brian E. Nelson</p> <p>In this session, Deputy Director Abbate and Under Secretary Nelson discuss the latest developments in financial crimes and illicit finance risk including new and emerging threats related to money laundering, fraud, securities fraud, cyber-crime, digital assets and sanctions.</p>	
	<p>▶ Private Placements: The Latest Regulatory Developments and Compliance Considerations</p> <p>Join panelists as they perform a deep dive into private placement regulatory developments as well as compliance obligations and best practices related to Reg BI, sales materials, due diligence, conflicts of interest and more.</p>	
	<p>▶ An Exclusive View Into FINRA’s Membership Application Program (MAP)</p> <p>During this session, attendees learn about FINRA’s processes for evaluating proposed business activities as well as insight into application trends, MAP transformation and new MAP initiatives.</p>	



**ALL SESSIONS
ARE RECORDED**

12:15 p.m. – 1:15 p.m.	<p>▶ Lunch Break</p> <ul style="list-style-type: none"> • General Lunch • New Attendee Luncheon • CRCP® Program Luncheon for Graduates
1:15 p.m. – 2:00 p.m.	▶ Dessert With Exhibitors
2:00 p.m. – 3:00 p.m.	▶ Plenary Session—Diversity, Equity & Inclusion
	As the focus on diversity and inclusion in the financial services industry increases, it is important that employers attract, develop and retain the best talent of all backgrounds. This session aims to increase the awareness of diversity and inclusion and explains how to promote and maintain a diverse and inclusive culture within our firms or industry. Hear from Jean-Marie Navetta Director of Learning & Inclusion for PFLAG National, the first and largest organization dedicated to supporting, educating, and advocating for LGBTQ+ people and their families.
3:00 p.m. – 3:15 p.m.	<p>▶ Break</p> <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
3:15 p.m. – 4:15 p.m.	▶ Concurrent Sessions
	<p>▶ The Inside Scoop on Insider Threats and Cybersecurity</p> <p>Join this session to learn about the compounding risks of insider and related cyber threats, where they can occur, and why your firm should focus on evolving your programs to detect and mitigate insider activity.</p>
	<p>▶ Advanced Analytics: Capabilities to Enhance, Inform and Empower Decision Making</p> <p>Explore the world of advanced analytics as panelists provide guidance and expertise in implementing, creating, and using analytics to harness data, connect the dots, and empower decision making throughout their organizations.</p>
	<p>▶ Financial Responsibility Rules and Relevant Touchpoints</p> <p>Panelists discuss topics involving SEC and FINRA financial responsibility rules, including regulatory obligations of introducing, intermediary, carrying and clearing firms under FINRA Rule 4311; SEA Rule 17a-4; and other topics including liquidity and fully-paid lending.</p>
4:15 p.m. – 4:30 p.m.	<p>▶ Break</p> <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
4:30 p.m. – 5:30 p.m.	▶ Plenary Session—Keynote Address: Cultivating Resiliency in Times of Change With Guest Speaker Alex Banayan
	One of the lessons many have learned with the onset of the pandemic and beyond is to always expect the unexpected. How do you cultivate growth and success in times of constant change? Join bestselling business author, Alex Banayan, as he offers alternative was of thinking to unlock exponential perseverance and lay the foundation for a mindset of success.
7:30 p.m. – 9:30 p.m.	▶ Opening Night Reception

Wednesday, May 17	
7:30 a.m. – 6:00 p.m.	Registration & Information
7:30 a.m. – 9:00 a.m.	General Breakfast
9:00 a.m. – 9:20 a.m.	▶ Plenary Session—Keynote Address
9:20 a.m. – 9:45 a.m.	▶ Networking Break <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
9:45 a.m. – 10:45 a.m.	▶ Concurrent Sessions
	▶ The Evolution of Branch Office Inspections Discover lessons learned from the transition to remote branch inspections. Panelists discuss tools and documentation strategies, vendor alternatives, “red flags”, as well FINRA inspections and other regulatory developments.
	▶ Market Regulation and Transparency Services Priorities: What You Need to Know During this session, FINRA staff discuss updates to market regulation and transparency priorities related to equities, options and fixed income compliance programs.
	▶ The Firm Perspective on Monitoring and Protecting Against Financial Crimes Join panelists for a comprehensive discussion on financial crimes from the firms’ perspective. This session covers a variety of tactics, red flags and mitigation strategies associated with fraud, insider trading, cybersecurity and money laundering.
10:45 a.m. – 11:00 a.m.	▶ Break <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
11:00 a.m. – 11:45 a.m.	▶ Concurrent Sessions
	▶ Enforcement: Latest Developments and Trends Hear about the latest enforcement developments directly from the Director of the U.S. Securities and Exchange Commission (SEC) Enforcement Division and the Acting Head of FINRA Enforcement. Panelists discuss recent priorities and events that exemplify their priorities and provide guidance on regulatory and compliance best practices.
	▶ Protecting Senior and At-Risk Investors Join panelists as they discuss various resources, tools and regulatory guidance to help firms build programs to bolster the protection of senior and at-risk investors.

	<p>▶ Working With FINRA: Effective Practices and Proactive Dialogue</p> <p>In this session, attendees learn more about how to effectively collaborate with FINRA. Panelists share success stories of firms collaborating with FINRA Risk Monitoring Analysts and Examiners and discuss how firms can play a role in strengthening industry and regulator partnerships.</p>
11:45 a.m. – 12:00 p.m.	<p>▶ Break</p> <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
12:00 p.m. – 1:00 p.m.	<p>▶ Concurrent Sessions</p>
	<p>▶ Current Issues Under Regulation Best Interest and Form CRS</p> <p>Regulators and industry practitioners discuss current topics and lessons learned on Reg BI and Form CRS from all angles, including firm effective practices and examination experiences.</p>
	<p>▶ Market Structure: Current Developments and Future Trends</p> <p>During this session, panelists discuss current developments in market structure, including order handling, order routing and execution quality disclosure, and other developments for fixed income and equity securities.</p>
	<p>▶ Capital Formation: Current Regulatory Landscape and Challenges</p> <p>Attend this session to learn more about the regulatory landscape, potential challenges, and resources for firms as it relates to capital formation.</p>
1:00 p.m. – 2:00 p.m.	<p>▶ Lunch Break</p> <ul style="list-style-type: none"> • Firm Grouping Networking Lunch • Lunch With the Regional Committees
2:00 p.m. – 2:30 p.m.	<p>▶ Dessert With Exhibitors</p>
2:30 p.m. – 3:30 p.m.	<p>▶ Concurrent Sessions</p>
	<p>▶ Redefining Communications Compliance for the Digital Age</p> <p>As we rely increasingly on mobile apps, social media and other digital channels to communicate, how are firms addressing the compliance challenges and opportunities these media offer? Learn from industry and FINRA experts about how to navigate the increasingly complex landscape of firm communications with the public. Panelists cover lessons learned from FINRA’s “influencer” targeted examinations, recent enforcement activity around off-channel communications, and how practitioners are approaching chatbots and the metaverse.</p>
	<p>▶ Leveraging Regulatory Technology for Your Firm</p> <p>During this session, panelists discuss how RegTech is impacting the securities industry as well as related benefits, risks and regulatory considerations. The session also covers different RegTech tools available to enhance compliance efforts, such as FINRA’s new Machine Readable Rulebook as well as other tools involving the use of artificial intelligence and cloud computing.</p>
	<p>▶ Hot Topics in Municipal Securities and Other Fixed Income</p> <p>This session covers an assortment of key considerations surrounding fixed income securities including exam priorities, common findings and enforcement actions, fixed-income rulemaking, and an update on SEC Rule 15c2-11.</p>

3:30 p.m. – 3:45 p.m.	<p>▶ Break</p> <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
3:45 p.m. – 4:30 p.m.	<p>▶ Concurrent Sessions</p>
	<p>▶ A View into FINRA’s Examination, National Cause and Financial Crimes Detection, and Risk Monitoring Programs</p> <p>Join FINRA personnel for a discussion on current examination priorities, emerging issues, and effective regulatory and compliance practices demonstrated by the industry.</p>
	<p>▶ Consolidated Audit Trail (CAT): What You Need to Know</p> <p>Join this session to better understand firms’ obligations, effective practices, available resources and FINRA examination focuses related to the Consolidated Audit Trail (CAT).</p>
	<p>▶ Complex Products: Top Concerns and Developments</p> <p>This session helps attendees better understand top concerns, considerations and developments related to complex products.</p>
4:30 p.m. – 4:45 p.m.	<p>▶ Break</p> <ul style="list-style-type: none"> • FINRA IDEA Booths • Networking With Exhibitors
4:45 p.m. – 5:30 p.m.	<p>▶ Concurrent Sessions</p>
	<p>▶ Crypto Asset Developments</p> <p>This session discusses recent developments in the crypto assets space and provides an overview of FINRA’s crypto asset team.</p>
	<p>▶ Understanding U4/U5 and 4530 Disclosure Reporting</p> <p>Join experts as they deep dive into disclosure reporting requirements for 4530 reporting and Forms U4/U5 and tips for the review process.</p>
	<p>▶ Best Practices for Implementing Firm Policies and Procedures in Response to Regulatory Changes</p> <p>Join a panel of FINRA staff and industry practitioners who share tips and strategies for policy and procedure changes in responses to new or updated rules and regulations.</p>
5:30 p.m. – 7:00 p.m.	Networking Reception



CONTINUING EDUCATION (CE) CREDITS

The FINRA Annual Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits.

Thursday, May 18	
7:30 a.m. – 11:00 p.m.	Registration & Information
7:30 a.m. – 9:00 a.m.	Firm Grouping Networking Breakfast
9:00 a.m. – 9:30 a.m.	▶ Plenary Session—Fireside Chat
9:30 a.m. – 9:45 a.m.	Break
9:45 a.m. – 10:45 a.m.	▶ Plenary Session—Compliance and Legal Trends
	Join industry leaders as they discuss trends, key focus areas and strategies that are shaping the industry. Panelists share insights on how these changes will affect compliance, and how firms are evolving and responding to business, regulatory and technology issues.
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 12:00 p.m.	▶ Plenary Session—Ask FINRA Senior Staff
	During this session, FINRA senior staff provide updates on key regulatory issues. Panelists address questions relating to FINRA's risk-based examination program, disciplinary actions, market regulation programs and new and anticipated rules, among other topics.
12:00 p.m.	Conference Adjourns



Alex Banayan

Alex Banayan is the youngest bestselling business author in American history. A renowned expert on perseverance and exponential growth, Banayan has presented the Third Door™ framework to business conferences and corporate leadership teams around the world, including Apple, Google, Nike, IBM, Snapchat, Salesforce, Delta Airlines, Mastercard, and Disney. The Third Door chronicles Banayan's seven-year quest to uncover the definitive mindset of success. The book is a #1 international bestseller, has been translated into more than a dozen languages, and has been acclaimed by the New York Post as "a joy to read."

Named to Forbes' "30 Under 30" list and Business Insider's "Most Powerful People Under 30," Alex Banayan is his generation's leading expert in high performance and personal development, having been featured in FORTUNE, CNBC, Bloomberg Businessweek, The Washington Post, MSNBC, Fox News, and NBC News.

The day before his freshman-year final exams, Alex Banayan hacked The Price is Right, won a sailboat, sold it, and used the money to fund his quest to learn from the world's most innovative leaders. Over the course of his unprecedented journey, Banayan interviewed Bill Gates, Lady Gaga, Larry King, Maya Angelou, Steve Wozniak, Jane Goodall, Jessica Alba, Quincy Jones, and more.

Banayan's keynotes have had far-reaching effects, acting as the catalyst for a new way of thinking. The Third Door™ framework has helped individuals discover unconventional routes to achieve their biggest dreams and has aided Fortune 500 companies to take new approaches to sales, marketing, and exponential growth.

Since the publication of The Third Door, Banayan has brought his message of possibility to millions of people in more than one hundred countries. At the core of Banayan's mission is his belief that, "When you change what someone believes is possible, you change what becomes possible."



Jean-Marie Navetta

Jean-Marie Navetta is the Director of Learning & Inclusion for PFLAG National, leading its Straight for Equality project which aims to invite, educate, and engage new allies in the effort to achieve full inclusion for people who are lesbian, gay, bisexual, transgender, and queer (LGBTQ+).

She has been the lead architect of the project since its 2007 inception. She was the primary author of *the guide to being a straight ally* (now in its fourth edition), *Straight for Equality in Healthcare* (2010), *be not afraid—help is on the way: straight for equality in faith communities* (now in its second edition), and

the guide to being a trans ally (now in its fourth edition). Under her leadership, over 75,000 people have been trained, many in Straight for Equality in the Workplace events across the globe in more than 270 major corporations.

Jean-Marie is also the host of PFLAG's first-ever weekly web series, *Something to Talk About*, an interactive discussion about current LGBTQ+ issues and culture, currently in its third year of production. In 2011, she was the staff lead in developing and launching PFLAG Academy Online, a monthly web-based learning program for PFLAG chapters to build their skills and understand more about LGBTQ issues, build skills, and expand inclusion. And in 2012, she was named a finalist for the Outie Award in the Trailblazer category by Out & Equal Workplace Advocates for her contributions to LGBTQ inclusion and education.

Following the devastating effects of Hurricane Maria on Puerto Rico, Jean-Marie became one of the lead organizers of the first ReconstruyeQ effort, a coalition effort of human rights organizations that sent volunteers to the island to assist Puerto Rico-based Waves Ahead in rebuilding the homes of LGBTQ+ people and their allies. In 2021, Jean-Marie appointed as a member of the Board of Directors for Waves Ahead, serving as the organization's treasurer.

Jean-Marie is the former Director of Communications for PFLAG where she increased the organization's visibility in outlets including *The New York Times* and *The Oprah Winfrey Show*. She was also Media Relations Manager for the American Association of University Women, where her work focused on issues such as discrimination in education, pay equity, and Title IX. Prior to that, Jean-Marie specialized in graphic design and visual communications, working for a number of nonprofit groups and corporations.

But Jean-Marie is, most importantly, living proof that Philosophy majors can get real jobs.

Learn more about PFLAG by visiting pflag.org and Straight for Equality by visiting straightforequality.org today.

FINRA IDEA—Innovation, Demonstration and Engagement Area

Meet with staff from various FINRA departments to engage on topics of interest, get answers to your questions, provide feedback and gather information and resources.

- ▶ Credentialing, Education, Registration, and Disclosure (CRED)
- ▶ Cyber and Analytics Unit: Cybersecurity and Crypto Assets
- ▶ Dispute Resolution Services
- ▶ Diversity, Equity and Inclusion
- ▶ Get to know your Member Relations & Education team
- ▶ FINRA Investor Education Foundation
- ▶ Market Regulation and Transparency Services
- ▶ Membership Application Program (MAP) Group
- ▶ Office of the Ombudsman
- ▶ Technology

Networking Opportunities and Special Events

Tuesday, May 16	Wednesday, May 17	Thursday, May 18
Certified Regulatory and Compliance Professionals (CRCP)[®] Program Luncheon for Graduates 12:15 p.m. – 1:15 p.m. <i>(pre-registration required)</i>	Firm Grouping Networking Lunch 1:00 p.m. – 2:00 p.m.	Firm Grouping Networking Breakfast 7:30 a.m. – 9:00 a.m. <i>PLUS—take advantage of the designated break times to network with peers, FINRA staff and conference exhibitors.</i>
New Attendee Luncheon 12:15 p.m. – 1:15 p.m. <i>(pre-registration required)</i>	Lunch With the Regional Committees 1:00 p.m. – 2:00 p.m. <i>(pre-registration required)</i>	
Opening Night Reception 7:30 p.m. – 9:30 p.m.	Reception 5:30 p.m. – 7:00 p.m.	

Conference Exhibitors

Connect with a range of conference exhibitors offering compliance-related resources.

PLATINUM LEVEL

- Smarsh

GOLD LEVEL

- Behavox Inc.
- Global Relay

STANDARD LEVEL

- A.D. Banker & Company
- Business Information Group
- CapitalROCK
- CellTrust Corporation
- Charles Schwab
- ComplianceEdge
- Due Diligence Works, Inc.
- Essential Edge Compliance Outsourcing Services, LLC
- Fidelity Investments
- Hearsay Social, Inc.
- Hilltop Securities Inc.
- Kaplan
- Knopman Marks Financial Training
- MirrorWeb Limited
- MyComplianceOffice (MCO)
- MyRepChat
- NICE
- n-Tier Financial Services, LLC

SILVER LEVEL

- ACA Group
- LeapXpert
- Proofpoint
- Saifr
- StarCompliance Operating LLC
- Veritas Technologies LLC
- NCC Group
- Orion Advisor Solutions, Inc.
- Pagefreezer
- Pass Perfect
- Pinpoint Global Communications
- Quest CE
- Red Oak Compliance Solutions
- RegEd
- SiteQuest Compliance
- SnippetSentry
- Starkweather & Shepley Insurance
- STC
- Softek
- Theta Lake
- Vidyard
- WebCE
- Withum