




# 2023 FINRA Small Firm Conference

The Small Firm Conference focuses on small firms' practices and tips for complying with FINRA rules. Throughout the event, attendees have the opportunity to discuss small firm topics with FINRA senior staff.

# Agenda

All times are listed in Pacific Time. All sessions are being recorded. 

Wednesday, October 25	
11:00 a.m. – 1:00 p.m.	Registration & Information
1:00 p.m. – 1:30 p.m.	<p>▶ <b>Fireside Chat With FINRA Senior Leaders</b></p> <p>Join FINRA senior leaders as they share thoughts on the current state of the financial industry landscape, key regulatory developments and impacts to the small firm community.</p>
1:30 p.m. – 2:15 p.m.	<p>▶ <b>Tips for Identifying and Mitigating Fraud in Financial Accounts</b></p> <p>Join FINRA and firm industry experts as they discuss the newest and most prevalent financial crimes threats, provide best practices for working with victims, and propose actionable mitigation strategies that firms can implement to bolster customer protection efforts.</p>
2:15 p.m. – 2:45 p.m.	Networking Break
2:45 p.m. – 3:30 p.m.	<p>▶ <b>An Update on Continuing Education Transformation and Supporting Systems</b></p> <p>Hear the latest from FINRA and industry practitioners on the CE Transformation Initiative. Panelists discuss recent changes to the Regulatory and Firm Elements, provide an update on the Maintaining Qualifications Program and highlight system tools (e.g., FINRA Gateway, Dynamic Reporting, FinPro), resources and best practices that member firms can incorporate into their processes.</p>
3:30 p.m. – 3:45 p.m.	Break
3:45 p.m. – 4:30 p.m.	<p>▶ <b>Regulation Best Interest and Form CRS Developments and Practices</b></p> <p>During this session, panelists discuss the latest developments with the SEC's Regulation Best Interest (Reg BI) and Form CRS rules, recent findings, interpretive guidance and actionable tips that small firms can implement to comply.</p>
4:45 p.m. – 6:30 p.m.	Reception in the Bungalow

## Thursday, October 26

8:00 a.m. – 9:00 a.m.	Breakfast
9:00 a.m. – 9:45 a.m.	<p>▶ <b>The Future of Remote Inspections and Hybrid Work</b></p> <p>Hear from panelists as they share their thoughts on modernizing firms' inspection approach and firm panelists provide actionable and practical tools for performing and documenting branch office inspections.</p>
9:45 a.m. – 10:00 a.m.	Break
10:00 a.m. – 10:45 a.m.	<p>▶ <b>Firm Perspectives on Supervising Off-Channel Communications</b></p> <p>Join this session to learn about the latest developments in off-channel communications. Industry and FINRA experts share insights into red flags to consider in detecting the use of unapproved communications channels, practical tips for building stronger supervision programs and suggestions for educating associated persons on firm policies and procedures. The panelists will also discuss recent SEC and FINRA initiatives in this dynamic area.</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 11:45 a.m.	<p>▶ <b>Effective Practices for Responding to New Rules, FINRA Priorities and Emerging Firm Risks</b></p> <p>Learn from FINRA staff and industry practitioners as they share effective practices, strategies and success stories for small firms to consider when assessing and building action plans in response to regulatory changes, the information included in the FINRA Report on Examination and Risk Monitoring and emerging risks to firms success such as succession planning.</p>
11:45 a.m. – 12:45 p.m.	Trending Topics Networking Lunch
12:45 p.m. – 1:15 p.m.	Dessert With Exhibitors
1:15 p.m. – 2:00 p.m.	<p>▶ <b>Ask the Small Firm Advisory Committee</b></p> <p>During this session, members from FINRA's Small Firm Advisory Committee address top concerns and questions from the small firm community and share their perspectives on the most critical compliance topics.</p>
2:00 p.m. – 2:15 p.m.	Break
2:15 p.m. – 3:00 p.m.	<p>▶ <b>Cybersecurity Landscape and Best Practices</b></p> <p>Hear from experts about the latest developments in cybersecurity threats, FINRA's efforts to support member firms in staying apprised of the threats and measures small firms can take to build strong cybersecurity programs.</p>
3:00 p.m.	Conference Adjourns

# Exhibitors and Registration

## Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- DFP Partners
- FinWebTech
- Global Relay
- Hilltop Securities Clearing Services
- Orion
- Red Oak Compliance Solutions
- Renaissance Regulatory Services
- Smarsh

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email [Jeff.Arcuri@finra.org](mailto:Jeff.Arcuri@finra.org) to request a conference exhibitor package.

## Registration

### How to Register

To register, visit [www.finra.org/smallfirm23](http://www.finra.org/smallfirm23) and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to [conreg@finra.org](mailto:conreg@finra.org).

### Confirmation Email

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

### Cancellation Policy

A full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the event. Refunds will not be granted after October 11, 2023.



#### CONTINUING EDUCATION (CE) CREDITS

The Small Firm Conference qualifies for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup> Continuing Education (CE) Credits—plus earn a Continuing Legal Education (CLE) CE voucher.

## Fees

In Person—Individual	
FINRA Member Small Firm must provide valid CRD #	\$495
Non-Member	\$1,195
Government / Regulator	\$495

In Person – Group* (Per Person)	
FINRA Member Small Firm must provide valid CRD #	\$370
Non-Member	\$1,010

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

Virtual Attendee	
FINRA Member must provide valid CRD #	\$250
FINRA Member (Group) must provide valid CRD #	\$100
Non-Member	\$350
Non-Member (Group)	\$250
Government / Regulator	\$250

## Contact Information

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

# Hotel Information

## Hotel Information

### Accommodations

A room block is available at the conference hotel at the special room rate of \$375 per night, plus tax. The rate is available until Monday, October 2, 2023, or until the room block is sold out.

### Room Reservation Process for FINRA Programs

To reserve a room at the conference hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please [contact us](#) with any additional questions.

### 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.**