

South Region Compliance Seminar

December 2 – 3, 2015

New Orleans, LA



New Ideas. New Perspectives. New Orleans.

FINRA's longest-running compliance event is headed to the Big Easy.



FINRA hosts the annual South Region Compliance Seminar to help firms and their associated persons better understand current industry and regulatory issues. FINRA district office and senior staff are available throughout the event to answer questions and discuss matters of interest to you.

Attend this year's seminar to learn new approaches to top compliance issues, including senior investors, cybersecurity, common examination findings and effective compliance practices.

- ▶ Hear regulatory updates from senior FINRA staff.
- ▶ Meet with FINRA staff from your South Region district office.
- ▶ Network and exchange ideas with peers.
- ▶ Earn CRCP CE credits.

Keynote speaker:



Richard G. Ketchum
FINRA Chairman & CEO

A Two-Day Parade of Compliance Solutions



Agenda | Wednesday, December 2

8:00 a.m. – 5:00 p.m.	Registration
10:00 a.m. – 10:05 a.m.	Welcome Remarks – Jeffrey Pasquerella, Senior Vice President and Regional Director, FINRA South Region
10:05 a.m. – 10:35 a.m.	Keynote Address – Richard G. Ketchum, FINRA Chairman and CEO
10:35 a.m. – 11:35 a.m.	Plenary Session: A Look Back at 2015 Regulatory Priorities and a Preview of 2016 Regulators reflect on 2015 regulatory priorities and common examination findings, and look ahead to regulatory initiatives, priorities and developments on the horizon from the viewpoints of their respective organizations. Panelists also respond to audience questions at the end of the session.
11:35 a.m. – 12:45 p.m.	Networking Lunch
12:45 p.m. – 1:45 p.m.	Concurrent Sessions I <ul style="list-style-type: none">▶ Identifying and Addressing Conflicts of Interest This panel focuses on some of the primary types of conflicts firms' face, and measures they take to identify, manage and mitigate those conflicts, as well as how firms stay abreast of emerging conflicts. Panelists discuss factors firms consider important to their framework for managing conflicts of interest, as well as factors to consider in establishing a conflict-management program.▶ Issues Affecting Registered and Associated Persons Panelists discuss registered persons' obligations and effective practices they should implement when completing their day-to-day responsibilities. Topics include suitability, reporting outside business activities, protecting customer data, and more.

Agenda | Wednesday (continued)

	<ul style="list-style-type: none"> ▶ FINRA Qualification Exam Program Restructure and Web Delivery of CE This session presents information around the proposal to restructure FINRA's representative qualification examinations and the transition to Web delivery of the Regulatory Element Continuing Education (CE) program. Participants learn about the October 2015 implementation and the timeline for the remainder of the transition, and understand the important points of FINRA's proposed restructuring of the representative level qualification examination program.
1:45 p.m. – 2:00 p.m.	Break
2:00 p.m. – 3:00 p.m.	Concurrent Sessions II <ul style="list-style-type: none"> ▶ Variable Annuities: Procedures, Practices and Findings This session covers suitability and supervision considerations for variable annuities. Industry panelists discuss monitoring, use of exception reports and effective practices for training registered representatives on variable annuities. FINRA staff highlight areas of focus for examiners and recent examination deficiencies related to the sale of variable annuities. ▶ Detecting and Preventing Fraudulent Investment Schemes This session focuses on noteworthy fraud cases. FINRA staff highlight emerging trends in securities fraud, provide tips to identify potential red flags, and discuss who to contact if you suspect a fraudulent scheme. ▶ Regulatory Inspections, Examinations, Reviews and Compliance Practices FINRA staff discuss common deficiencies noted during FINRA cycle examinations, and identify controls, procedures and leading compliance practices that member firms are incorporating into their respective supervisory systems to address these deficiencies.
3:00 p.m. – 3:15 p.m.	Break
3:15 p.m. – 4:15 p.m.	Concurrent Sessions III <ul style="list-style-type: none"> ▶ Branch Office Supervision: Protecting Your Practice FINRA panelists review common branch exam findings. Panelists further discuss effective practices in implementing an effective branch office supervision program from both a firm and regulatory perspective. Topics include red flags associated with branch office inspections and common findings.

Agenda | Wednesday (continued)

	<ul style="list-style-type: none"> ▶ The Who, What and Why of Enforcement Case Studies This session provides an overview of new developments and trends in enforcement, including enforcement priorities, as well as policy changes and clarifications, particularly regarding information requests. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities, and provide guidance on regulatory and compliance practices. They also provide information and insights on navigating enforcement investigations and the disciplinary process.
	<ul style="list-style-type: none"> ▶ Fixed Income: What's on the Horizon? During this session, FINRA staff provide an update on fixed income issues. Panelists also discuss the regulatory framework for municipal advisors, and address the implementation process and potential compliance matters relating to the municipal advisor rules.
4:15 p.m. – 4:30 p.m.	Break
4:30 p.m. – 5:30 p.m.	Plenary Session: Ask FINRA Staff FINRA senior staff provide updates on regulatory key issues, enforcement and hot topics facing the industry. They address questions relating to the examination program, effective compliance practices, the implication of new and pending FINRA rules, and other important issues.
5:30 p.m. – 7:00 p.m.	Networking Reception

Thursday, December 3

7:30 a.m. – 11:00 a.m.	Registration
7:30 a.m. – 8:30 a.m.	Continental Breakfast
8:30 a.m. – 9:30 a.m.	Plenary Session: Senior Investors: Protecting and Understanding Their Needs In response to the rapid and continued growth of the senior population in the United States, this session provides an important opportunity for participants to learn about and discuss special considerations and practices for seniors. Join FINRA staff and industry panelists as they discuss possible solutions to help protect our senior investors from exploitation and fraudulent practices.
9:30 a.m. – 9:45 a.m.	Break

Agenda | Thursday (continued)

CRCP CE Credit

Attendance to this conference qualifies for eight (8) hours of continuing education credit for FINRA Institute at Wharton CRCP™ designees.

9:45 a.m. – 10:45 a.m.	<p>Concurrent Sessions IV</p> <ul style="list-style-type: none"> ▶ Variable Annuities: Procedures, Practices and Findings (Repeat Session) This session covers suitability and supervision considerations for variable annuities. Industry panelists discuss monitoring, use of exception reports and effective practices for training registered representatives on variable annuities. FINRA staff highlight areas of focus for examiners and recent examination deficiencies related to the sale of variable annuities. ▶ Tips and Considerations for Supervising Independent Contractors This panel of FINRA staff and industry members addresses common challenges in supervising independent contractors, including issues related to consolidated account reports and compensation arrangements. The session offers examples and suggestions for firms to use in their everyday supervision and compliance efforts. The panel also discusses existing rules and related guidance, and shares effective industry practices. ▶ Effective Steps to Combat Money Laundering Join industry practitioners and FINRA staff as they discuss money laundering risks and vulnerabilities, including bank-like activity, direct market access from high-risk jurisdictions, micro-cap securities, and suspicious activity reporting obligations and expectations. FINRA staff also discuss current trends in AML and the Office of Foreign Assets Control (OFAC) enforcement actions.
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 12:00 p.m.	<p>Plenary Session: Cybersecurity: Understanding the Exposure</p> <p>This session provides an overview of the latest cybersecurity threats firms face and provides preventative measures firms can take to protect their business. Industry panelists and FINRA staff share effective practices to develop a cyber-risk program and steps to take to address cyber weaknesses. Panelists discuss real-life examples of cyber breaches and lessons learned from them.</p>
12:00 p.m.	Closing Remarks and Conference Adjourns

Speakers | As of November 2015

Rick Agster	Raymond James & Associates, Inc.
Mitchell Atkins	FirstMark Regulatory Solutions
Edward Balsmann	Tudor, Pickering, Holt & Co., LLC
Christopher Barton	Morgan Stanley
J. Bradley Bennett	FINRA Enforcement
Penny Blackwell	FINRA Enforcement
Brooks Brown	FINRA Atlanta District Office
Beth Burns	Synovus Securities, Inc.
Walter Butler	FSC Securities Corporation
Jason Foye	FINRA Boca Raton District Office
Cynthia Friedlander	FINRA Member Regulation, Fixed Income
Cameron Funkhouser	FINRA Office of Fraud and Market Intelligence
Daniel Gibbons	FINRA New Orleans District Office
Mark Grosvenor	NFP Securities, Inc.
Stacy Hagar	FINRA Dallas District Office
Casey Harper	FINRA Dallas District Office
Brian Hartmann	FINRA New Orleans District Office
Susan Hechtlinger	SunTrust Investment Services, Inc.
Jessica Hopper	FINRA Enforcement
Jeffrey Horowitz	Pershing, LLC
Debra Jastredowski	FINRA Atlanta District Office
Alistair Johnson	FINRA New Orleans District Office
Chip Jones	FINRA Member Relations and Education
James Jones	Crews & Associates, Inc.
John Kalohn	FINRA Registration and Disclosure/ Testing and Continuing Education
David Kelley	FINRA Kansas City District Office
Rick Ketchum	FINRA Chairman and CEO
Ronald King	Capital Investment Brokerage, Inc.
Dave Klafter	FINRA Enforcement
Gary Klein	Raymond James & Associates, Inc.
Ronald Klimas	Securities Service Network, Inc.

Samuel Kuehn	Legend Equities Corporation
Chris Longobucco	FINRA Chicago District Office
Scott Maestri	FINRA Dallas District Office
Emilio Mahia	FINRA New Orleans District Office
Michael Manley	FINRA Enforcement
Gail Marshall	Municipal Securities Rulemaking Board (MSRB)
Robert Mascio	FINRA Boca Raton District Office
Elizabeth Mauro	FINRA Boca Raton District Office
Joseph McDonald	FINRA Testing and Continuing Education
James McHale	Wells Fargo Advisors, LLC
Thomas Mellett	FINRA San Francisco District Office
Christopher Melton	Coastal Securities, Inc.
Neivon Morantez	FINRA New Orleans District Office
Denise Morrison	Regions Securities LLC
Yvette Panetta	FINRA Boca Raton District Office (Deputy District Director)
Jeffrey Pariser	FINRA Enforcement
Jeffrey Pasquerella	FINRA South Region (Regional Director)
Ronak Patel	Texas State Securities Board
Scott Pays	FINRA New Orleans District Office
Krishna Podury	FINRA Testing and Continuing Education
Steve Polansky	FINRA Office of Regulatory Programs
Julie Preuitt	U.S. Securities and Exchange Commission (SEC)
Michael Rufino	FINRA Member Regulation, Sales Practice
Anthony Russell	U.S. Securities and Exchange Commission (SEC)
Thomas Shaw	USAA
Daniel Stefek	FINRA Atlanta District Office (District Director)
Erin Vocke	FINRA Dallas and New Orleans District Offices (District Director)

Registration Information



How to Register

To register, visit www.finra.org/conferences/southregion2 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. Please note that this event is not open to journalists.

Online registration closes on Friday, November 27, 2015. If you experience difficulties registering, please call (202) 728-6980 or email conreg@finra.org.

Questions | Please direct questions about registration to (202) 728.6980 or email 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

For all registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after November 17, 2015.

Registration Rates

IN-PERSON	First 100 Through October 2, 2015	100+ or After October 2, 2015
FINRA Member Firm	\$495	\$595
Non-Member (Attorney)	\$995	\$1,095
Non-Member (Consultant)	\$995	\$1,095
Government/Regulator	\$450	\$550

GROUP RATE (Per Person)*	First 100 Through October 2, 2015	100+ or After October 2, 2015
FINRA Member Firm	\$420	\$520
Non-Member	\$950	\$1,050

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

Seminar fees include attendance to all sessions and conference materials, access to the conference app, lunch and a reception on Wednesday, continental breakfast on Thursday and refreshment breaks.

Hotel and Travel Information



Hotel Reservations

The 2015 FINRA South Region Compliance Seminar will take place at:

New Orleans Marriott

555 Canal Street

New Orleans, LA

Phone: (504) 581-1000

Reservations: www.finra.org/conferences/southregion/hotel

Hotel Info: www.marriott.com/hotels/travel/msyla-new-orleans-marriott

A room block is available at the New Orleans Marriott at the special rate of \$159 per night, plus tax. This rate is available until November 9, 2015, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis. [Reserve a room online](#) or call (504) 581-1000 and identify yourself as a 2015 FINRA South Region Compliance Seminar attendee.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to 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.

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