



## Annual Conference

Washington, DC May 27-29, 2015

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### **Detecting and Fighting Fraud: Present Day Stories**

**Wednesday, May 27**

**3:15 p.m. – 4:30 p.m.**

#### **Topics:**

- Understand emerging trends in securities fraud and how to identify potential threats.
- Identify potential red flags associated with different types of financial fraud.
- Contact the proper authorities in order to report potential fraud.

#### **Speakers:**

Cameron Funkhouser (*moderator*)  
Executive Vice President  
FINRA Office of Fraud Detection and Market Intelligence

Anthony Cavallaro  
Senior Vice President  
FINRA Office of Fraud Detection and Market Intelligence

Patrick Daly  
Supervisory Special Agent  
Federal Bureau of Investigation, Financial Crimes Section, Economic Crimes Unit

Vincente Martinez  
Chief of Office of Market Intelligence  
U.S. Securities Exchange Commission

Susan Schroeder  
Deputy Chief  
FINRA Enforcement

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#### **Resources**

##### **FINRA Investor Alerts**

- E-Cigarette Stock Scams: New Smoking Technology Could Light Up Pump-and-Dump Fraud (December 23, 2014)  
[www.finra.org/investors/alerts/e-cigarette-stock-scams-new-smoking-technology-could-light-pump-and-dump-fraud](http://www.finra.org/investors/alerts/e-cigarette-stock-scams-new-smoking-technology-could-light-pump-and-dump-fraud)
- Physical Precious Metals: Tips to Avoid Tarnishing Your (December 18, 2014)  
[www.finra.org/investors/alerts/physical-precious-metals-tips-avoid-tarnishing-your-portfolio](http://www.finra.org/investors/alerts/physical-precious-metals-tips-avoid-tarnishing-your-portfolio)
- Dormant Shell Companies How to Protect Your Portfolio from Fraud (October 30, 2014)  
<https://www.finra.org/investors/alerts/dormant-shell-companies%E2%80%94how-protect-your-portfolio-fraud>
- Free Lunch Investment Seminars-Avoiding the Heartburn of a Hard Sell (September 12, 2014)  
[www.finra.org/investors/alerts/free-lunch-investment-seminars%E2%80%94avoiding-heartburn-hard-sell](http://www.finra.org/investors/alerts/free-lunch-investment-seminars%E2%80%94avoiding-heartburn-hard-sell)
- Viral Disease Stock Scams: Don't Let Them Infect Your Portfolio (August 14, 2014)  
[www.finra.org/investors/alerts/viral-disease-stock-scams-don%E2%80%99t-let-them-infect-your-portfolio](http://www.finra.org/investors/alerts/viral-disease-stock-scams-don%E2%80%99t-let-them-infect-your-portfolio)
- Marijuana Stock Scams (May 29, 2014)  
[www.finra.org/investors/alerts/marijuana-stock-scams](http://www.finra.org/investors/alerts/marijuana-stock-scams)
- High Yield CDs: Red Flags that Signal a Scam (May 28, 2014)  
[www.finra.org/investors/alerts/high-yield-cds-red-flags-signal-scam](http://www.finra.org/investors/alerts/high-yield-cds-red-flags-signal-scam)

## FINRA News Releases

- FINRA Files Cease and Desist Order Against Avenir Financial Group, CEO Michael Clements, and Registered Representative Karim Ibrahim for Fraud Against Elderly Investors (April 27, 2015)  
[www.finra.org/newsroom/2015/finra-files-tcdo-against-avenir-ceo-and-karim-ibrahim-fraud-against-elderly-investors](http://www.finra.org/newsroom/2015/finra-files-tcdo-against-avenir-ceo-and-karim-ibrahim-fraud-against-elderly-investors)
- FINRA Sanctions Brookville Capital Partners \$1.5 Million and Bars President Anthony Lodati for Fraud (March 12, 2015)  
[www.finra.org/newsroom/2015/finra-sanctions-brookville-capital-partners-15-million-and-bars-president-anthony](http://www.finra.org/newsroom/2015/finra-sanctions-brookville-capital-partners-15-million-and-bars-president-anthony)
- FINRA Foundation Research Reveals Fraud Victims Vulnerable to Severe Stress, Anxiety and Depression (March 9, 2015)  
[www.finra.org/newsroom/2015/finra-foundation-research-reveals-fraud-victims-vulnerable-severe-stress-anxiety-and](http://www.finra.org/newsroom/2015/finra-foundation-research-reveals-fraud-victims-vulnerable-severe-stress-anxiety-and)
- FINRA Hearing Panel Expels John Carris Investments and Bars CEO George Carris for Fraud (January 14, 2015)  
[www.finra.org/newsroom/2015/finra-hearing-panel-expels-john-carris-investments-and-bars-ceo-george-carris-fraud](http://www.finra.org/newsroom/2015/finra-hearing-panel-expels-john-carris-investments-and-bars-ceo-george-carris-fraud)
- FINRA Bars Broker for Stealing \$89,000 From an Elderly Customer (December 22, 2014)  
[www.finra.org/newsroom/2014/finra-bars-broker-stealing-89000-elderly-customer](http://www.finra.org/newsroom/2014/finra-bars-broker-stealing-89000-elderly-customer)
- FINRA Bars Broker for Insider Trading in Japanese Securities (July 2, 2014)  
[www.finra.org/newsroom/2014/finra-bars-broker-insider-trading-japanese-securities](http://www.finra.org/newsroom/2014/finra-bars-broker-insider-trading-japanese-securities)
- FINRA Hearing Panel Expels Success Trade Securities and Bars CEO Fuad Ahmed for Fraudulent Scheme (June 25, 2014)  
[www.finra.org/newsroom/2014/finra-hearing-panel-expels-success-trade-securities-and-bars-ceo-fuad-ahmed-fraudulent](http://www.finra.org/newsroom/2014/finra-hearing-panel-expels-success-trade-securities-and-bars-ceo-fuad-ahmed-fraudulent)