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MESSAGE FROM

FINRA's President and CEO



Robert W. Cook
President and CEO
FINRA

When I arrived at FINRA last August, I set out on a “listening tour” to hear from people throughout the brokerage industry. The experience has only reinforced my view that as a self-regulatory organization, FINRA benefits tremendously from having constant conversation with industry firms and representatives. I intend to make the tour a permanent part of my schedule.

The Annual Conference provides an ideal venue to bring together a wide range of industry participants to continue those important conversations. This year’s event features more than 50 sessions, including everything from panel discussions on regulatory updates and compliance solutions to conversations about emerging technologies and cybersecurity threats.

Our capital markets are stronger when we work together to share information and build relationships.

I hope to see you at this year’s conference.

Agenda

LIVE BROADCAST
ATTENDEES:

 VIDEO



 AUDIO

Monday, May 15

5:00 p.m. – 7:00 p.m.	Registration & Information
	“Kick Off” Happy Hour With Exhibitors

Tuesday, May 16

7:30 a.m. – 6:00 p.m.	Registration & Information
8:00 a.m. – 6:00 p.m.	Meet With Exhibitors
8:00 a.m. – 10:00 a.m.	General Continental Breakfast
8:30 a.m. – 9:30 a.m.	Back to Basics Compliance Program Welcome and Information Session (B2BC)
	<p>► This orientation breakfast is designed specifically to provide B2BC program participants 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 B2BC program participants and get first-hand answers to last-minute questions. Can't make this session? Visit an Information Booth located on levels 2, 3 or 4 for a quick tutorial.</p> <p>Moderator: Susanne Goldsmith, FINRA Member Relations and Education</p> <p>Panelists: Karrie Foley, FINRA Member Relations and Education Holly Ross, FINRA Member Relations and Education</p>

10:00 a.m. – 10:15 a.m.	Plenary Session I	
	<p>► Welcome Remarks: Chip Jones, FINRA Member Relations and Education</p>	
10:15 a.m. – 11:00 a.m.	Plenary Session II	
	<p>► Keynote Address: Fireside Chat with Robert Cook and Jack Brennan FINRA President and Chief Executive Officer Robert Cook and FINRA Chairman of the Board Jack Brennan share their perspective on the current state of the industry, and look ahead to what the future may hold.</p> <p>Introduction: Chip Jones, FINRA Member Relations and Education</p>	
11:00 a.m. – 11:15 a.m.	Networking & Demos Break	

► **Communications With the Public**

During this session, industry panelists and FINRA staff discuss compliance tips and useful practices in the creation and supervision of retail and institutional communications—and address current regulatory developments, including the recent changes to the filing requirements and a proposed exception to the prohibition of projections for a customized hypothetical investment planning illustration. This session also addresses current industry issues and trends related to advertising and communications with the public.

Moderator: Gregory Riviello, FINRA Advertising Regulation

Panelists: Stephen Bard, Wells Fargo Advisors | Teresa Cowan, Quasar Distributors, LLC



► **Bonds: 2017 and Beyond**

During this session, FINRA staff and industry practitioners discuss current developments and future trends in the fixed income market, including the upcoming implementation of TRACE reporting for U.S. Treasury securities and fixed income market structure issues.

Moderator: Christopher Stone, FINRA Corporate Debt

Panelists: Eric Kriftcher, Bank of America, Merrill Lynch | Elliot Levine, FINRA Transparency Services | Craig Noble, Wells Fargo Advisors



► **Outsourcing and Vendor Management**

While outsourcing is an activity or function that a third-party service provider performs to assist an organization, an outsourcing arrangement does not relieve firms of their ultimate responsibility for compliance with all applicable laws and security regulations. During this session, FINRA staff and industry members address the use of third-party service providers and firms' responsibility for complying with all applicable laws and security regulations. Panelists also discuss policies, procedures, and resources to effectively analyze new and existing vendors, and how to oversee third-party providers and their services.

Moderator: Scott DeArmey, FINRA Kansas City District Office

Panelists: David Glockner, U.S. Securities and Exchange Commission (SEC) | Angela Johnson, Robert W. Baird & Co. | Rebekah Powers, Calton & Associates, Inc.



► **Understanding the Basics of the Examination Process (B2BC)**

This Back to Basics Compliance session focuses on what you can expect during a FINRA cycle examination. It describes the steps involved in cycle examinations; explores FINRA's approach to risk-based examinations; outlines roles and responsibilities of members of the surveillance staff and examination team; highlights the expectations of the member firm staff; discusses strong practices observed by the examination staff; and summarizes the various types of examinations.

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

Panelists: Donna DiMaria, Tessera Capital Partners, LLC | Don Winton, Crews & Associates, Inc.

► **Artificial Intelligence and Machine Learning (Technology)**

Join FINRA staff and industry experts as they discuss how artificial intelligence and machine learning is being used to enhance regulation and firm operations.

Moderator: Vincent Saulys, FINRA Market Regulation, Technology

Panelists: David Fortunato, Wealthfront | Kavita Jain, FINRA Emerging Regulatory Issues (ERI) | Annika Schröder, UBS Group

12:15 p.m. – 1:15 p.m.	Lunches General, Diversity and CRCP	
<p>CRCP Speaker: Tim O’Neal Lorah, FINRA Institute at Wharton Certified Regulatory and Compliance Professional™ (CRCP™)</p> <p>Diversity and Inclusion Speaker: Robert Cook, FINRA Audrey Choi, Morgan Stanley</p>		
1:15 p.m. – 1:45 p.m.	Dessert With Exhibitors	
1:45 p.m. – 2:45 p.m.	Concurrent Sessions II	
<p>▶ Hiring and Supervising Registered Representatives in the Retail Space</p> <p>FINRA staff and industry practitioners discuss tips and useful practices for hiring and supervising registered representatives in the retail space.</p> <p>Moderator: Thomas Drogan, FINRA Member Regulation, Office of Sales Practice</p> <p>Panelists: Michael Solomon, FINRA Northeast Region Paul Tolley, Commonwealth Financial Network Jeffrey Williams, Northwestern Mutual Investment Services & Northwestern Mutual Wealth</p>		
<p>▶ Hot Topics in AML (AML)</p> <p>Join FINRA staff and industry panelists as they discuss noteworthy topics around anti-money laundering, and their approach to address and combat money laundering risks.</p> <p>Moderator: Jason Foye, FINRA AML Investigative Unit (AMLIU)</p> <p>Panelists: Brent Cohen, RBC Capital Markets, LLC Sterling Daines, Goldman Sachs, & Co. John Fahey, U.S. Securities and Exchange Commission (SEC)</p>		
<p>▶ Market Regulation Priorities: Detecting and Preventing Misconduct</p> <p>This session provides updates on market regulation priorities, including current initiatives and rule-making. FINRA panelists share thoughts on equities, options and fixed income compliance programs.</p> <p>Moderator: Gene DeMaio, FINRA Market Regulation</p> <p>Panelists: Jon Kroeper, FINRA Market Regulation Robert Marchman, FINRA Market Regulation, Legal Group Duer Meehan, FINRA Market Regulation</p>		
<p>▶ Enhancing Your Product Knowledge</p> <p>This session focuses on due diligence obligations and effective practices in connection with sales of alternative investments, including private equity, real estate and energy investments; business development companies, closed-end funds and UITs; Regulation D private placements; and structured products. Industry practitioners discuss their practices and procedures when vetting complex products.</p> <p>Moderator: Joseph Price, FINRA Corporate Financing/Advertising Regulation</p> <p>Panelists: Nathan Headrick, Triloma Capital Deborah Schwager Froling, Kutak Rock, LLP Matthew Vitek, FS Investments</p>		
<p>▶ Suitability 101: Assessing Client Suitability (B2BC)</p> <p>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.</p> <p>Moderator: Scott Maestri, FINRA Dallas District Office</p> <p>Panelists: Bill Clark, Microventure Marketplace Donald Runkle, Coordinated Capital Securities, Inc. Will Schmitt, Prospera Financial</p>		

► **RegTech: Technology-Enabled Transformation of Regulatory Compliance (Technology)**

This session provides strong practices for using emerging technologies in compliance and operations. FINRA staff and industry experts discuss how emerging technologies are being used to automate and improve regulatory compliance. Panelists discuss the technologies in which firms are investing, key considerations for adoption, implementation strategies and technology management.

Moderator: Noah Egorin, FINRA Firm Compliance Tools

Panelists: David Blisk, Spire Investment Partners, LLC | Robert Dearman, Jackson National Life Insurance Company | Len Smuglin, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

2:45 p.m. – 3:00 p.m.

Networking & Demos Break

3:00 p.m. – 4:00 p.m.

Concurrent Sessions III

► **Cybersecurity Threats and Loss Prevention (Medium and Large Firm Focus)**

Every firm needs a cybersecurity program. Is your current plan as comprehensive or robust as it could be? Are you effectively protecting your firm and your clients from threats? This session provides guidance on useful practices for protecting customer information, what to do in the event of a data breach, and tackling other cybersecurity situations. Whether you're just starting out or updating a well-documented approach, this session provides strong, actionable practices, and highlights in-depth tools to help you strengthen your cybersecurity program.

Moderator: David Kelley, FINRA Kansas City District Office

Panelists: Richard Hannibal, U.S. Securities and Exchange Commission (SEC) | Stephanie Mumford, T. Rowe Price Investment Services, Inc. | Andy Zolper, Raymond James Financial, Inc.



► **Effective Practices for Working With Senior Investors**

During this session, panelists provide guidance on identifying and responding to issues and concerns of clients who are or will soon be seniors—as well as cover initiatives to help combat elder financial exploitation and strong industry practices for addressing diminished capacity concerns.

Moderator: Yvette Panetta, FINRA Boca Raton District Office

Panelists: Christopher Majeski, Bank of American, Merrill Lynch | Ruth Kolb Drew, Alzheimer's Association | Mary Tucker, Wells Fargo Advisors



► **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 requirements of supervising such activities. Panelists also discuss common deficiencies found during examinations, and share effective practices for designing and implementing supervisory systems and controls to mitigate the risks associated with OBAs and PSTs.

Moderator: William St. Louis, FINRA New York and Long Island District Offices

Panelists: Mari Buechner, Coordinated Capital Securities, Inc. | Edward Sullivan, Morgan Stanley | Justin Triolo, FINRA New York District Office







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	<p>▶ Supervision of Trading Desk Operations FINRA staff and industry practitioners discuss supervision of the trading desk and internal controls firms should have in place for monitoring trading activity, maintaining information barrier policies and procedures, reviewing electronic communications and conducting regular employee training, among other important topics.</p> <p>Moderator: Mark Frankenberg, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation Panelists: Cheryl Geremia, Morgan Stanley Julius Leiman-Carbia, MUFG Securities Americas Inc. Lisa Rizzi-Grieco, KGS Alpha Capital Markets</p>	
	<p>▶ Effective Practices for Managing Conflicts of Interest In 2013, FINRA published its Report on Conflicts of Interest. During this session, panelists discuss lessons learned in conflicts management since the report was published, and address general approaches firms use to identify and manage conflicts as well as specific conflict situations.</p> <p>Moderator: Steve Polansky, FINRA Regulatory Operations/Shared Services Panelists: Mark Lontchar, Raymond James Financial Services, Inc. Joseph Romano, Romano Brothers & Co. Richard Rosenthal, Morgan Stanley</p>	
4:00 p.m. – 4:15 p.m.	Networking & Demos Break	
4:15 p.m. – 5:15 p.m. Plenary Session III		
	<p>▶ Top Regulatory Considerations During this session, FINRA staff and industry practitioners discuss key areas of regulatory consideration—and how these issues impact firms and their compliance practices.</p> <p>Moderator: Chip Jones, FINRA Member Relations and Education Panelists: Susan Axelrod, FINRA Office of Regulatory Operations Mark Cresap, Cresap, Inc. Bari Havlik, Charles Schwab & Co., Inc. Kevin Miller, Securities America, Inc.</p>	
6:00 p.m. – 7:00 p.m.	Networking Reception Hosted by Platinum Exhibitor—Smash	
7:00 p.m.	Buses begin loading at Marquis Rear Lobby	
7:30 p.m. – 9:30 p.m.	Opening Night Reception at Smithsonian National Museum of Natural History	

Wednesday, May 17

7:00 a.m. – 6:00 p.m.	Registration & Information	
7:30 a.m. – 6:00 p.m.	Meet With Exhibitors	
7:45 a.m. – 8:45 a.m.	Breakfast with Member Regulation & ROOR Staff	
	General Continental Breakfast	
8:45 a.m. – 9:45 a.m.	Plenary Session IV	
	<p>▶ Keynote Speaker—FINRA President and Chief Executive Officer Robert Cook opens the second day of the conference.</p> <p>Introduction: Chip Jones, FINRA Member Relations and Education</p>	
9:45 a.m. – 10:00 a.m.	Networking & Demos Break	
10:00 a.m. – 11:00 a.m.	Concurrent Sessions IV	
	<p>▶ Common Examination Findings and Effective Compliance Practices (Medium and Large Firm Focus)</p> <p>Join FINRA staff as they discuss FINRA’s cycle examination process and common deficiencies noted during 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.</p> <p>Moderator: Ed Wegener, FINRA Chicago District Office</p> <p>Panelists: Marion Halliday, Janney Montgomery Scott, LLC John Hickey, FINRA New York District Office Kenneth Wagner, William Blair & Company, LLC</p>	
	<p>▶ Strengthen Your Cybersecurity Practices (Small Firm Focus)</p> <p>This session focuses on cybersecurity risks small firms face, and measures they can take to control those risks on a limited budget. Panelists share their perspectives on determining a firm’s cybersecurity priorities (or risk appetite) along with useful practices for designing and implementing a cost-effective cybersecurity risk management program. Attendees also learn about cybersecurity resources available through FINRA’s website.</p> <p>Moderator: David Yacono, FINRA Technology, Cyber & Information Security</p> <p>Panelists: Allan Goldstein, Trade Informatics David Kelley, FINRA Kansas City District Office Melinda LeGaye, Moody Securities, LLC</p>	
	<p>▶ Social Media and Digital Communication Trends: Mobile, Messaging and Beyond</p> <p>Join social media and digital communication compliance experts as they discuss the current and future trends in the industry. Topics include recent regulatory developments, the increased usage of mobile devices, the challenges of messaging apps, and the evolution of live content.</p> <p>Moderator: Amy Sochard, FINRA Advertising Regulation</p> <p>Panelists: Sheelagh Howett, Cantella & Co., Inc Nubiaa Shabaka, Morgan Stanley</p>	

	<p>► Institutional Sales and Trading Compliance Concerns</p> <p>This session focuses on compliance topics relevant to institutional sales and trading activities. Compliance professionals responsible for covering fixed income and equity sales and trading business lines face an array of challenges, including conflicts of interest and rogue and manipulative activity, which present varying levels of risk to their firms. During this session, panelists discuss the business issues and regulatory concerns they confront on a daily basis, and the most effective controls to minimize those risks.</p> <p>Moderator: Jeffrey Herrmann, FINRA New York District Office</p> <p>Panelists: Ben Juergens, Morgan Stanley George Mandl, HSBC Securities (USA) Inc. Ed McLaren, Bank of America, Merrill Lynch</p>	
	<p>► Handling Customer Complaints 101 (B2BC)</p> <p>This Back to Basics Compliance session focuses on regulatory requirements and firm practices related to reporting and disclosure. FINRA staff and industry panelists highlight key reporting requirements, including requirements for maintaining Forms U4 and U5, customer complaint reporting obligations, and FINRA Rule 4530 reporting obligations.</p> <p>Moderator: Lance Burkett, FINRA Denver District Office</p> <p>Panelists: Aimee Blinder, National Planning Holdings, Inc. Mario DiTrapani, FINRA Registration and Disclosure (RAD) Kenneth Schindler, Great-West Financial</p>	
11:00 a.m. – 11:15 a.m.	Networking & Demos Break	
11:15 a.m. – 12:15 p.m. Concurrent Sessions V		
	<p>► Managing Operational Risks</p> <p>Join FINRA and SEC staff as well as industry practitioners as they discuss current financial and operational risks at broker-dealer firms. This session also provides an overview of proposed financial and operational rules and the current rule making environment. In addition, panelists discuss approaches taken by compliance and risk professionals to monitor financial and operational risks.</p> <p>Moderator: Demetrios Koutros, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation</p> <p>Panelists: Melanie Chan, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation Chad Estep, E*TRADE Financial Michael Macchiaroli, U.S. Securities and Exchange Commission (SEC) James Williams, Gogan & Williams</p>	
	<p>► Enforcement Developments</p> <p>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.</p> <p>Moderator: Susan Schroeder, FINRA Enforcement</p> <p>Panelists: Julie Glynn, JPMorgan Chase & Co. Jessica Hopper, FINRA Enforcement Christopher Kelly, FINRA Enforcement Jeffrey Levine, Mesirow Financial</p>	





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<p>► Qualification Examination Program Restructure and Regulatory CE Changes</p> <p>This session provides guidance on rule filing SR-FINRA-2017-007: Proposed Rule Change to Adopt Consolidated FINRA Registration Rules, Restructure the Representative-Level Qualification Examination Program and Amend the Continuing Education Requirements. Panelists discuss the consolidated rules, the restructuring of the representative-level qualification examination program and changes in the CE requirements for permissively registered individuals. Panelists also discuss additional changes to the Regulatory Element CE program regarding the consolidation of the S106 and S901 programs into a single representative-level program, and share practical answers to questions about these changes.</p> <p>Moderator: John Kalohn, FINRA Testing and Continuing Education Panelists: Joseph McDonald, FINRA Testing and Continuing Education Roni Meikle, FINRA Continuing Education</p>	
<p>► Considerations and Practices for Supervising Independent Contractors</p> <p>During this session, FINRA staff and industry members address common challenges in supervising independent contractors. Panelists offer examples and suggestions for firms to use in their everyday supervision and compliance efforts. The panel also covers existing rules and related guidance, and effective industry practices.</p> <p>Moderator: Elizabeth Page, FINRA Boston District Office Panelists: John Hagberg, Commonwealth Financial Network Jacob Palmer, SWBC Investment Services, LLC Bridget McNamara-Fenesy, M Holdings Securities Inc.</p>	
<p>► Fundamentals of Financial and Operational Effective Practices (B2BC)</p> <p>During this Back to Basics Compliance session, industry panelists and FINRA staff discuss strong operational practices. Panelists provide strategies to help take the guesswork out of assembling an effective back office. Learn how practitioners manage the challenges they encounter and the effective practices they have implemented to simplify their day-to-day responsibilities and mitigate operational risks.</p> <p>Moderator: Jeffrey Fortune, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation Panelists: Irving Klubeck, Pershing LLC Michael MacPherson, FINRA New York District Office Carolyn May, Wiley Bros Aintree Asset Management, LLC</p>	
<p>► Moving Regulated Workloads Onto the Cloud (Technology)</p> <p>FINRA staff and industry panelists discuss implications of financial services firms moving regulated workloads and data to the cloud. Topics include implementation strategies, security, and compliance risks and controls.</p> <p>Moderator: Scott Donaldson, FINRA Market Regulation, Technology Panelists: Afshin Atabaki, FINRA Office of General Counsel, Regulatory Practice & Policy Mark Freeman, Goldman Sachs, & Co. Basil Joseph, Van Clemens & Company, Inc.</p>	





12:15 p.m. – 1:15 p.m.	Luncheon Keynote Speaker – The Honorable Mike Crapo, Chairman, Committee on Banking, Housing & Urban Affairs, U.S. Senate	
1:15 p.m. – 1:45 p.m.	Dessert With Exhibitors	

AML = Anti-Money Laundering Track **B2BC** = Back to Basics Compliance Program **Technology** = Technology Track





<p>▶ Customer Due Diligence Rule (AML)</p> <p>The clock is ticking for compliance with the new Customer Due Diligence rule. Join FINRA staff and industry experts as they discuss the proposed rule and frequently asked questions, and share strong practices for firms to consider in meeting the rule requirements.</p> <p>Moderator: Sarah Green, FINRA Member Regulation, Office of Sales Practice</p> <p>Panelists: James Fiebelkorn, Ameriprise Financial Inc. Wendy Lanton, Lantern Investments, Inc. Young Lee, U.S. Department of Treasury</p>	
<p>▶ Common Examination Findings and Effective Compliance Practices (Small Firm Focus)</p> <p>Join FINRA staff as they discuss the most common deficiencies noted during FINRA cycle examinations of small firms. Industry practitioners discuss taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings.</p> <p>Moderator: Joseph Sheirer, FINRA New Jersey District Office</p> <p>Panelists: Robert Kaplan, FINRA Philadelphia District Office Miriam Lefkowitz, Summit Equities, Inc. Susan Michel, Glen Eagle Advisors</p>	
<p>▶ The Distinction Between Supervisory and Compliance Roles (Medium/Large Firm Focus)</p> <p>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.</p> <p>Moderator: Donald Lopezi, FINRA West Region</p> <p>Panelists: Bryan Jacobsen, Cetera Advisor Networks LLC and Girard Securities, Inc. Steven Klein, Farmers Financial Solutions, LLC Peter Vonk, CUSO Financial Services, LP</p>	
<p>▶ Detecting, Preventing, and Investigating Fraud and Misappropriation</p> <p>This session focuses on recent or noteworthy fraud cases. FINRA staff and 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.</p> <p>Moderator: Cam Funkhouser, FINRA Office of Fraud Detection and Market Intelligence</p> <p>Panelists: Anthony Cavallaro, FINRA Office of Fraud Detection and Market Intelligence Jennifer Diamantis, U.S. Securities and Exchange Commission (SEC) BJ Kang, Federal Bureau of Investigation (FBI) Susan Schroeder, FINRA Enforcement</p>	
<p>▶ Investment Banking and Research</p> <p>This session addresses regulatory developments and current investment banking trends. Industry panelists and FINRA staff discuss compliance tips and useful practices for investment banking and research.</p> <p>Moderator: Michael Solomon, FINRA Northeast Region</p> <p>Panelists: John Cartaina, Bank of America, Merrill Lynch Yoon-Young Lee, WilmerHale Ann McCague, Piper Jaffray & CO. Philip Shaikun, FINRA Office of General Counsel</p>	

	<p>► Emerging Technology (Technology) Join panelists as they discuss how technology is changing, transforming and disrupting our industry, and share their thoughts on trends and projections. Topics include capital-raising platforms, social media sentiment investing, crowd-sourced research and robotic process automation.</p> <p>Moderator: Doug Cohen, FINRA Technology Product Management Panelists: Ryan Feit, SeedInvest Joseph Nadreau, Wells Fargo Advisors Haimera Workie, FINRA Emerging Regulatory Issues</p>
2:45 p.m. – 3:00 p.m.	Networking & Demos Break
3:00 p.m. – 4:00 p.m. Concurrent Sessions VII	
	<p>► FINRA Membership Application Program (MAP) Attend this session to hear about FINRA's Membership Application Program (MAP). Learn how FINRA evaluates proposed business activities of potential and existing member firms, including the applicant's financial, operational, supervisory and compliance systems. This session provides an overview of the application process, including MAP's fast track/expedited review process. Panelists also offer tips firms can use prior to filing an application and how to avoid common pitfalls.</p> <p>Moderator: Alissa Robinson, FINRA Membership Application Program Panelists: Jeffrey Halperin, Brighthouse Financial, Inc. James Webb, Cape Securities, Inc.</p>
	<p>► Suitability Considerations 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 suitability 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.</p> <p>Moderator: James Wrona, FINRA Office of General Counsel Panelists: William Givens, Morgan Stanley Kay Johnson, National Securities Corporation Linde Murphy, M.E. Allison & Co., Inc.</p>
	<p>► Navigating the Clearing Firm Relationship 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 reports and services clearing firms offer, and practices for integrating these tools into introducing firms' compliance processes. In addition, the panel covers common industry issues, such as clearing agreements, transfer of customer accounts, orphaned accounts and collection of margin.</p> <p>Moderator: Rosemarie Fanelli, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation Panelists: Lana Calton, Hilltop Securities, Inc. Thomas McGowan, U.S. Securities and Exchange Commission (SEC) James McHale, Wells Fargo Advisors Robert Muh, Sutter Securities Incorporated</p>

	<p>► FINRA's Use of Cloud Services (Technology)</p> <p>In this session, FINRA shares effective practices and lessons learned from the adoption of Cloud IT service delivery. Panelists discuss motivating factors, expected and actual benefits of Cloud use, re-architecting applications to optimize value, impact on the IT organization, and enabling DevOps Practices. Panelists also cover how to enhance cyber and information security practices within a virtual private cloud (VPC).</p> <p>Moderator: John Brady, FINRA Technology, Cyber & Information Security</p> <p>Panelists: John Hitchingham, FINRA Development Services Steven Randich, FINRA Office of the Chief Information Officer David Yacono, FINRA Technology, Cyber & Information Security</p>	
	<p>► JOBS Act and CAB Rules Update</p> <p>This session focuses on business and regulatory developments related to the JOBS Act and recently adopted Capital Acquisition Broker (CAB) rules. Join FINRA staff and industry panelists as they discuss recent trends in Regulation D, Regulation A-plus, and crowdfunding offerings, as well as recent developments regarding the CAB Rules.</p> <p>Moderator: Joseph Savage, FINRA Office of Regulatory Analysis</p> <p>Panelists: Ira Gluck, FINRA Advertising Regulation Sara Hanks, CrowdCheck, Inc.</p>	
	<p>► Product-Based Supervision</p> <p>Join FINRA staff and industry practitioners as they discuss product-based supervision and the proactive steps firms can take to best serve investors and reduce regulatory risks.</p> <p>Moderator: Michael Rufino, FINRA Member Regulation, Office of Sales Practice</p> <p>Panelists: Kenneth Bell, Cetera Financial Group Maurya Keating, AXA Advisors, LLC Shawn McLaughlin, McLaughlin Ryder Investments, Inc.</p>	
4:00 p.m. – 4:15 p.m.	Networking & Demos Break	
4:15 p.m. – 5:15 p.m. Plenary Session V		
	<p>► Compliance and Legal Trends</p> <p>Join FINRA senior 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.</p> <p>Moderator: Robert Colby, FINRA Chief Legal Office</p> <p>Panelists: Stephen Cutler, JPMorgan Chase & Co. Robert Muh, Sutter Securities Incorporated Brent Taylor, UBS Financial Services Inc. Amy Webber, Cambridge Investment Research, Inc.</p>	
5:15 p.m. – 7:00 p.m.	Networking Reception	

Thursday, May 18

7:30 a.m. – 11:00 a.m.	Registration & Information
7:30 a.m. – 11:00 a.m.	Meet With Exhibitors
7:45 a.m. – 9:00 a.m.	General Continental Breakfast

9:00 a.m. – 10:00 a.m.	Concurrent Sessions VIII
<p>▶ Millennials: Trends and Challenges of New Clientele</p> <p>One of the largest generations in history is about to move into its prime spending years. Millennials with unique experiences and behaviors are poised to reshape how the financial industry conducts business. Join FINRA staff and industry practitioners as they discuss changing client demographics and steps their firms are taking to cater to the next generation of financial consumers.</p> <p>Moderator: Patricia Albrecht, FINRA Member Relations and Education</p> <p>Panelists: Dana Schmidt, LOYAL3 Securities, Inc. Gerri Walsh, FINRA Office of Investor Education Sue Zhou, WiseBanyan Securities LLC</p>	
<p>▶ Ethics for Compliance and Legal Professionals</p> <p>High ethical standards are critical to maintaining the public's trust in financial markets and in the investment profession. This session is designed to educate attendees on the standards of ethical behavior specific to the financial services industry. Panelists provide examples and case studies of actions considered to be misconduct or illegal. They also discuss how to establish strong practices with regard to maintaining ethical standards of conduct in your profession.</p> <p>Moderator: Thomas Selman, FINRA Office of Regulatory Analysis</p> <p>Panelists: Norm Ashkenas, Fidelity Brokerage Services, LLC Daniel Nathan, Morvillo LLP Lisa Roth, Tessera Capital Partners, LLC</p>	
<p>▶ Market Regulation: Examination Pilot Program (Small Firm Focus) and Surveillance Early Remediation Programs</p> <p>This session provides updates on the small firm examination pilot and early remediation programs. Join FINRA staff and industry panelists as they share thoughts on the process and approach of these programs.</p> <p>Moderator: Gene DeMaio, FINRA Market Regulation</p> <p>Panelists: Dave Chapman, FINRA Market Regulation Peter Stoehr, FINRA NY Equities/TFCE Admin Carrie Wrisberg, Moloney Securities Co., Inc.</p>	
<p>▶ Lessons Learned From Recent AML Enforcement Actions (AML)</p> <p>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.</p> <p>Moderator: Laura Blackston, FINRA Enforcement</p> <p>Panelists: Elizabeth Page Baumann, Fidelity Investments Emily Gordy, LPL Financial LLC Jeffrey Horowitz, Pershing LLC</p>	

AML = Anti-Money Laundering Track

B2BC = Back to Basics Compliance Program

Technology = Technology Track

<p>► The Basics of Detecting, Preventing, and Investigating Fraud and Misappropriation (B2BC) This Back to Basics Compliance session focuses on effective practices in fraud detection. During the session, FINRA staff review different types of fraud and provide tips to identify potential “red flags,” and discuss who to contact if you suspect a fraudulent scheme. Moderator: Cameron Funkhouser, FINRA Office of Fraud Detection and Market Intelligence</p>	
<p>► Municipal Advisors/Municipal Securities This session addresses regulatory developments with respect to both municipal securities broker-dealers and municipal advisors. Panelists discuss current topics, including disclosure, transparency, trading, as well as new supervisory and compliance obligations. Moderator: Cindy Friedlander, FINRA Member Regulation, Fixed Income Regulation Panelists: Kristin Maher, Wells Fargo Advisors David Medanich, FirstSouthwest, A Division of Hilltop Securities Michael Post, Municipal Securities Rulemaking Board (MSRB) Ivonia Slade, U.S. Securities and Exchange Commission (SEC)</p>	
10:00 a.m. – 10:15 a.m.	Networking Break
10:15 a.m. – 11:15 a.m.	Plenary Session VI
	<p>► Ask FINRA Senior 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 programs, 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: Daniel Sibears, FINRA Regulatory Operations/Shared Services and FINRA South Region Panelists: Susan Axelrod, FINRA Office of Regulatory Operations Robert Colby, FINRA Chief Legal Office Cameron Funkhouser, FINRA Office of Fraud Detection and Market Intelligence Thomas Gira, FINRA Market Regulation Michael Rufino, FINRA Member Regulation, Sales Practice Susan Schroeder, FINRA Enforcement William Wollman, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation</p>
11:15 a.m.	Conference Adjourns



Access Leaders

Patricia Albrecht	FINRA Member Relations and Education
Norm Ashkenas	Fidelity Brokerage Services, LLC
Afshin Atabaki	FINRA Office of General Counsel, Regulatory Practice & Policy
Susan Axelrod	FINRA Office of Regulatory Operations
Stephen Bard	Wells Fargo Advisors
Elizabeth Paige Baumann	Fidelity Investments
Kenneth Bell	Cetera Financial Group
Laura Blackston	FINRA Enforcement
Aimee Blinder	National Planning Holdings, Inc.
David Blisk	Spire Securities
John Brady	FINRA Technology, Cyber & Information Security
Jack Brennan	FINRA Chairman of the Board
Don Bruns	FINRA Web Services
Mari Buechner	Coordinated Capital Securities, Inc.
Lance Burkett	FINRA Denver District Office
Lana Calton	Hilltop Securities Inc.
John Cartaina	Bank of America, Merrill Lynch
Anthony Cavallaro	FINRA Office of Fraud Detection and Market Intelligence
Melanie Chan	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Dave Chapman	FINRA Market Regulation
Audrey Choi	Morgan Stanley
Bill Clark	Microventure Marketplace
Brent Cohen	RBC Capital Markets, LLC

Douglas Cohen	FINRA Technology Product Management
Robert Colby	FINRA Chief Legal Office
Christopher Cook	FINRA Office of the Ombudsman
Robert Cook	FINRA
Teresa Cowan	Quasar Distributors, LLC
The Honorable Mike Crapo	Committee on Banking, Housing & Urban Affairs, U.S. Senate
Mark Cresap	Cresap, Inc.
Stephen Cutler	JPMorgan Chase & Co.
Sterling Daines	Goldman Sachs & Co.
Robert Dearman	Jackson National Life Insurance Company
Scott DeArme	FINRA Kansas City District Office
Gene DeMaio	FINRA Market Regulation
Danielle Derrick	FINRA Office of the Ombudsman
Jennifer Diamantis	U.S. Securities and Exchange Commission (SEC)
Donna DiMaria	Tessera Capital Partners, LLC
Mario DiTrapani	FINRA Registration and Disclosure (RAD)
Scott Donaldson	FINRA Market Regulation, Technology
Thomas Drogan	FINRA Member Regulation, Office of Sales Practice
Noah Egorin	FINRA Firm Compliance Tools
Chad Estep	E*TRADE Financial
John Fahey	U.S. Securities and Exchange Commission (SEC)
Rosemarie Fanelli	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

Ryan Feit	SeedInvest
James Fiebelkorn	Ameriprise Financial Inc.
Karrie Foley	FINRA Member Relations and Education
David Fortunato	Wealthfront
Jeffrey Fortune	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Jason Foye	FINRA AML Investigative Unit (AMLIU)
Mark Frankenberg	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Mark Freeman	Goldman Sachs, & Co.
Cynthia Friedlander	FINRA Member Regulation, Fixed Income Regulation
Cameron Funkhouser	FINRA Office of Fraud Detection and Market Intelligence
Cheryl Geremia	Morgan Stanley
Thomas Gira	FINRA Market Regulation
William Givens	Morgan Stanley
David Glockner	U.S. Securities and Exchange Commission (SEC)
Ira Gluck	FINRA Advertising Regulation
Julie Glynn	JPMorgan Chase & Co.
Susanne Goldsmith	FINRA Member Relations and Education
Allan Goldstein	Trade Informatics
Emily Gordy	LPL Financial LLC
Sarah Green	FINRA Member Regulation, Office of Sales Practice
John Hagberg	Commonwealth Financial Network

Marion Halliday	Janney Montgomery Scott, LLC
Jeffrey Halperin	Brighthouse Financial, Inc.
Sara Hanks	CrowdCheck, Inc.
Richard Hannibal	U.S. Securities and Exchange Commission (SEC)
Bari Havlik	Charles Schwab & Co., Inc
Nathan Headrick	Triloma Capital
Jeffrey Herrmann	FINRA New York District Office
John Hickey	FINRA New York District Office
John Hitchingham	FINRA Development Services
Jessica Hopper	FINRA Enforcement
Jeffery Horowitz	Pershing LLC
Sheelagh Howett	Cantella & Co., Inc.
Bryan Jacobsen	Cetera Advisor Networks LLC and Girard Securities, Inc.
Kavita Jain	FINRA Emerging Regulatory Issues (ERI)
Angela Johnson	Robert W. Baird & Co.
Kay Johnson	National Securities Corporation
Chip Jones	FINRA Member Relations and Education
Basil Joseph	Van Clemens & Company, Inc.
Ben Juergens	Morgan Stanley
John Kalohn	FINRA Testing and Continuing Education
BJ Kang	Federal Bureau of Investigation (FBI)
Robert Kaplan	FINRA Philadelphia District Office
Maurya Keating	AXA Advisors, LLC
David Kelley	FINRA Kansas City District Office
Christopher Kelly	FINRA Enforcement

Steven Klein	Farmers Financial Solutions, LLC
Irving Klubeck	Pershing LLC
Ruth Kolb Drew	Alzheimer's Association
Demetrious Koutros	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Eric Kriftcher	Bank of America, Merrill Lynch
Jon Kroeper	FINRA Market Regulation
Wendy Lanton	Lantern Investments, Inc.
Yoon-Young Lee	WilmerHale
Young Lee	U.S. Department of Treasury
Miriam Lefkowitz	Summit Equities, Inc.
Melinda LeGaye	Moody Securities, LLC
Julius Leiman- Carbia	MUFG Securities Americas Inc.
Elliot Levine	FINRA Transparency Services
Jeffrey Levine	Mesirow Financial
Mark Lontchar	Raymond James Financial Services, Inc.
Donald Lopez	FINRA West Region
Michael Macchiaroli	U.S. Securities and Exchange Commission (SEC)
Michael MacPherson	FINRA New York District Office
Scott Maestri	FINRA Dallas District Office
Kristin Maher	Wells Fargo Advisors
Christopher Majeski	Bank of America, Merrill Lynch
George Mandl	HSBC Securities (USA) Inc.
Robert Marchman	FINRA Market Regulation, Legal Group
Carolyn May	Wiley Bros Aintree Asset Management, LLC

Ann McCague	Piper Jaffray & CO.
Joseph McDonald	FINRA Testing and Continuing Education
Thomas McGowan	U.S. Securities and Exchange Commission (SEC)
James McHale	Wells Fargo Advisors
Ed McLaren	Bank of America, Merrill Lynch
Shawn McLaughlin	McLaughlin Ryder Investments, Inc.
Bridget McNamara- Fenesy	M Holdings Securities Inc.
David Medanich	FirstSouthwest, A Division of Hilltop Securities
Duer Meehan	FINRA Market Regulation
Roni Meikle	FINRA Continuing Education
Susan Michel	Glen Eagle Advisors
Kevin Miller	Securities America, Inc.
Robert Muh	Sutter Securities Incorporated
Stephanie Mumford	T. Rowe Price Investment Services, Inc.
Linde Murphy	M.E. Allison & Co., Inc.
Joseph Nadreau	Wells Fargo Advisors
Daniel Nathan	Morvillo LLP
Craig Noble	Wells Fargo Advisors
Tim O'Neal Lorah	FINRA Institute at Wharton Certified Regulatory and Compliance Professional™ (CRCP™)
Elizabeth Page	FINRA Boston District Office
Jacob Palmer	SWBC Investment Services, LLC
Yvette Panetta	FINRA Boca Raton District Office
Steven Polansky	FINRA Regulatory Operations/ Shared Services

Michael Post	Municipal Securities Rulemaking Board (MSRB)
Rebekah Powers	Calton & Associates, Inc.
Joseph Price	FINRA Corporate Financing/ Advertising Regulation
Steven Randich	FINRA Office of the Chief Information Officer
Gregory Riviello	FINRA Advertising Regulation
Lisa Rizzi-Grieco	KGS Alpha Capital Markets
Alissa Robinson	FINRA Membership Application Program
Joseph Romano	Romano Brothers & Co.
Richard Rosenthal	Morgan Stanley
Holly Ross	FINRA Member Relations and Education
Lisa Roth	Tessera Capital Partners, LLC
Michael Rufino	FINRA Member Regulation, Office of Sales Practice
Donald Runkle	Coordinated Capital Securities, Inc.
Vincent Saulys	FINRA Market Regulation, Technology
Joseph Savage	FINRA Office of Regulatory Analysis
Kenneth Schindler	Great-West Financial
Dana Schmidt	LOYAL3 Securities, Inc.
Will Schmitt	Prospera Financial
Annika Schröder	UBS Group
Susan Schroeder	FINRA Enforcement
Deborah Schwager Froling	Kutak Rock, LLP
Thomas Selman	FINRA Office of Regulatory Analysis

Nubiaa Shabaka	Morgan Stanley
Philip Shaikun	FINRA Office of General Counsel
Joseph Sheirer	FINRA New Jersey District Office
Daniel Sibears	FINRA Regulatory Operations/ Shared Services and FINRA South Region
Ivonia Slade	U.S. Securities and Exchange Commission (SEC)
Len Smuglin	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Amy Sochard	FINRA Advertising Regulation
Michael Solomon	FINRA Northeast Region
William St. Louis	FINRA New York and Long Island District Offices
Peter Stoehr	FINRA NY Equities/TFCE Admin
Christopher Stone	FINRA Corporate Debt
Edward Sullivan	Morgan Stanley
Bill Swanstrom	FINRA Membership Gateway
Brent Taylor	UBS Financial Services Inc.
Paul Tolley	Commonwealth Financial Network
Justin Triolo	FINRA New York District Office
Mary Tucker	Wells Fargo Advisors
Matthew Vitek	FS Investments
Erin Vocke	FINRA Dallas and New Orleans District Offices
Peter Vonk	CUSO Financial Services, LP
Kenneth Wagner	William Blair & Company, LLC
Gerri Walsh	FINRA Office of Investor Education
James Webb	Cape Securities, Inc.

Amy Webber	Cambridge Investment Research, Inc.
Ed Wegener	FINRA Chicago District Office
Jeffrey Williams	Northwestern Mutual Investment Services & Northwestern Mutual Wealth Management Company
James Williams	Gogan & Williams
Don Winton	Crews & Associates, Inc.
William Wollman	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Haimera Workie	FINRA Emerging Regulatory Issues (ERI)
Carrie Wisberg	Moloney Securities Co., Inc.
James Wrona	FINRA Office of General Counsel
David Yacono	FINRA Technology, Cyber & Information Security
Sue Zhou	WiseBanyan Securities LLC
Andy Zolper	Raymond James Financial, Inc.

Watch the
**2017 Annual Conference
Promotional Video**



Grow Your Network



FINRA Tools, Tips and Resources

Meet with FINRA 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.



Office Hours

Meet one-on-one with FINRA senior staff to discuss firm-specific questions. Sign up for a 15-minute appointment through the conference app.

“Getting that individual face-time with FINRA staff members is excellent.”

“I enjoyed the ability to network face to face with other firms.”

“At the Annual Conference, the networking is always the best.”

—2016 FINRA Annual Conference Attendees

Networking Opportunities

With more than 15 networking opportunities and special events, take advantage of the many opportunities throughout the conference to grow your network and meet with industry peers, committee members and FINRA staff. Networking events include:

- ▶ **Breakfast with FINRA Member Regulation and ROOR Senior Staff** – with representatives from several FINRA district offices
- ▶ **Certified Regulatory and Compliance Professional (CRCP) Lunch** – with CRCP alumni and details on how to join an elite group of compliance professionals
- ▶ **Diversity and Inclusion Lunch** – featuring a special guest speaker
- ▶ **Lunch With Keynote Speaker Address** – featuring The Honorable Mike Crapo, Chairman, Committee on Banking, Housing & Urban Affairs, U.S. Senate
- ▶ **Networking Reception** – a relaxed atmosphere to share ideas with colleagues, regulators and peers
- ▶ **Opening Night Reception at the Smithsonian National Museum of Natural History** – see below for more information

SPECIAL EVENT | Opening Night Reception at the Smithsonian National Museum of Natural History

Join us at the Smithsonian National Museum of Natural History for an exclusive opening night reception. Network with colleagues and industry peers while exploring more than 124 million artifacts—including the mysterious Hope Diamond. Want to bring a guest? Visit the [conference website](#) for more information.



SPECIAL EVENT!

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—the full conference experience, 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.

IMPORTANT INFORMATION

Networking Schedule

Take advantage of the many opportunities to meet with colleagues, exchange ideas and interact with FINRA committee members and FINRA senior staff.

Monday, May 15

What	When	Who	How
<p>Kick-Off “Happy Hour” With Exhibitors</p> <p>Stop by registration to pick up your badge and gifts. Then preview products and services offered by conference exhibitors while networking and enjoying hors d’oeuvres with fellow conference attendees.</p>	<p>5:00 p.m. – 7:00 p.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees; visit the Level 4 Foyer.</p>

Tuesday, May 16

What	When	Who	How
<p>General Breakfast</p> <p>Network with other conference attendees.</p>	<p>8:00 a.m. – 10:00 a.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees; with buffet service in the Archives Room and open seating in the Independence Ballroom A – D.</p>
<p>Diversity and Inclusion Lunch</p> <p>Diversity lets us develop better ideas, respond to the needs of clients, and helps ensure that people can work at their maximum potential. During this event, hear insights and perspectives on diversity and inclusion. Special guest speaker Audrey Choi, Chief Executive Officer and Managing Director at Morgan Stanley.</p>	<p>12:15 p.m. – 1:15 p.m.</p>	<p>All conference attendees</p>	<p>Attendance is open on a first-come, first-served basis in the Marquis Ballroom 3 – 4; registration is not required.</p>
<p>Certified Regulatory and Compliance Professional (CRCP) Lunch</p> <p>The FINRA Institute at Wharton Certified Regulatory Compliance Professional™ (CRCP™) Program provides compliance, legal and regulatory professionals with an in-depth understanding of the foundation, theory and practical application of securities laws and regulation.</p> <p>Attend the CRCP Luncheon—a perennial favorite conference event—to learn more about the CRCP program and connect with CRCP participants and graduates, and hear from CRCP Program faculty member Tim O’Neal Lorah.</p>	<p>12:15 p.m. – 1:15 p.m.</p>	<p>Attendees interested in learning more about the CRCP program, CRCP alumni and current participants</p>	<p>Attendance is open to all conference attendees in the Marquis Ballroom 5. Pre-registration is required.</p>

Tuesday, May 16
CONTINUED

What	When	Who	How
<p>General Lunch</p> <p>Network with other conference attendees.</p>	<p>12:15 p.m. – 1:15 p.m.</p>	<p>All conference attendees</p>	<p>Buffet stations are available in the Marquis Ballroom 6 – 10 with open seating.</p>
<p>Dessert With Exhibitors</p> <p>Meet with more than 55 exhibitors showcasing compliance-related products and services.</p>	<p>1:15 p.m. – 1:45 p.m.</p>	<p>All conference attendees</p>	<p>Dessert stations are available throughout the exhibit space in the Liberty and Independence Ballroom Foyers.</p>
<p>Pre-Museum Reception (Hosted by Platinum Exhibitor Smarsh)</p> <p>Connect with exhibitors, regulators and industry peers.</p>	<p>6:00 p.m. – 7:00 p.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees in the Mezzanine Level</p>
<p>Opening Night Reception at the Smithsonian National Museum of National History</p> <p>Network with colleagues and industry peers while exploring more than 124 million artifacts—featuring the Butterfly Pavilion, the mysterious Hope Diamond and much more.</p>	<p>7:30 p.m. – 9:30 p.m.</p>	<p>All conference attendees</p>	<p>Meet in the hotel rear lobby beginning at 7:00 p.m. for transportation to the museum.</p> <p>If you would like to bring a guest, you may do so for an additional charge of \$110 per guest (guest pass includes attendance to both the Tuesday Opening Night Reception and Wednesday-Night Reception)—contact conreg@finra.org or visit the registration desk to purchase guest passes.</p>

Wednesday, May 17

What	When	Who	How
<p>Breakfast With Member Regulation and ROOR Staff</p> <p>Meet with senior Member Regulation staff representing ROOR and FINRA regions for informal conversations about FINRA’s examination program and priorities and other current topics.</p>	<p>7:45 a.m. – 8:45 a.m.</p>	<p>Member firm attendees</p>	<p>Attendance is open on a first-come, first-served basis; with buffet service in the Liberty Ballroom I – L. Tables marked with signs are designated for the discussions with Member Regulation staff.</p>
<p>General Breakfast</p> <p>Network with other conference attendees.</p>	<p>7:45 a.m. – 8:45 a.m.</p>	<p>All conference attendees</p>	<p>Attendance is open on a first-come, first-served basis; with buffet service in the Archives Room and open seating in the Independence Ballroom A – D.</p>
<p>Luncheon Keynote Speaker</p> <p>Featuring The Honorable Mike Crapo, Chairman, Committee on Banking, Housing & Urban Affairs, U.S. Senate.</p>	<p>12:15 p.m. – 1:15 p.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees in the Marquis Ballroom 6 – 10</p>
<p>Dessert With Exhibitors</p> <p>Meet with more than 55 exhibitors showcasing their compliance-related products and services.</p>	<p>1:15 p.m. – 1:45 p.m.</p>	<p>All conference attendees</p>	<p>Dessert stations are available throughout the exhibit space in the Liberty and Independence Ballroom Foyers.</p>
<p>Wednesday-Night Reception</p> <p>Connect with regulators, exhibitors and industry peers.</p>	<p>5:15 p.m. – 7:00 p.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees in the Liberty and Independence Ballroom Foyers.</p> <p>If you would like to bring a guest, you may do so for an additional charge of \$110 per guest (guest pass includes attendance to the Tuesday Opening Night Reception and Wednesday-Night Reception)—contact conreg@finra.org or visit the registration desk to purchase guest passes.</p>

Thursday, May 18

What	When	Who	How
<p>General Breakfast</p> <p>Network with other conference attendees.</p>	<p>7:45 a.m. – 9:00 a.m.</p>	<p>All conference attendees</p>	<p>Attendance is open to all conference attendees; with buffet service in the Archives Room and open seating in the Independence Ballroom A – D.</p>

Throughout the Conference

By Appointment: Tuesday, May 16 – Thursday, May 18

What	When	Who	How
<p>Office Hours With FINRA Staff</p> <p>Meet one-on-one with FINRA experts to discuss firm-specific issues regarding:</p> <ul style="list-style-type: none"> ▶ Advertising Regulation ▶ Anti-Money Laundering (AML) ▶ Emerging Regulatory Issues (ERI) ▶ Financial Responsibility Rules ▶ FINRA Membership Application Program (MAP) ▶ Fixed Income ▶ Member Regulation ▶ Qualifications, Exams and Continuing Education ▶ Registration and Disclosure (RAD) 	<p>Throughout the conference (by appt.)</p>	<p>Member firm attendees</p>	<p>By appointment only. Sign up for a 15-minute appointment using the conference app or visit the information booth on level 3.</p>
<p>FINRA Tools, Tips and Resources</p> <p>FINRA staff demonstrate and answer questions about FINRA systems and resources for firms, plus representatives from various departments discuss FINRA initiatives and answer questions.</p> <ul style="list-style-type: none"> ▶ Cybersecurity Resources for Firms Level 2 ▶ E-Learning Level 3 ▶ Financial Professional (FinPro) Gateway Level 2 ▶ FINRA.org Industry Homepage Redesign Level 2 ▶ Firm Compliance Tools Level 2 ▶ Member Relations and Education Level 2 ▶ Office of the Ombudsman Level 3 	<p>Throughout the conference</p>	<p>All conference attendees</p>	<p>Visit level 3 and the Marquis Ballroom Foyer on level 2 during breaks between sessions.</p>

Registration

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. In-person attendees receive access to recordings of all sessions on-demand for free after the conference. So if there are two simultaneous sessions of interest to you, you can attend one and listen to the other one later.



Live online broadcast

Because most sessions are video or audio broadcast live, those who can't 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 sessions in real time. Most sessions will be recorded and made available after the conference, 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 during the conference.

How to Register

To register, visit www.finra.org/annualconference17 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 2, 2017.

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

Register to participate in person or via live online broadcast.

“The offerings are so vast that there are more than enough sessions that are relevant to your business.”

“The Annual Conference is one of the better industry conferences available.”

“I have attended for quite a few years now and have seen it improve over the past few years.”

“I’m new to compliance, so I found the conference to be extremely informative.”

—2016 FINRA Annual Conference Attendees

Registration and Pricing

Registration Fees	First 100 Through 10/01/16	Up to 500 Through 3/31/17	500+ or After 3/31/17
In Person – Individual			
FINRA Member (Must provide valid Firm CRD #)	\$795	\$1,395	\$1,595
FINRA Member (Small Firms)**	\$595	\$1,195	\$1,395
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 (Small Firms)**		\$600	
FINRA Member (Must provide valid Firm CRD #)		\$2,800	
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.

Hotel and Travel



The 2017 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.



2017 FINRA Annual Conference App

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

- ▶ speakers
- ▶ sessions
- ▶ exhibitors
- ▶ maps
- ▶ networking

Strengthen Your Firm's Compliance Function

Exhibitors

Conference exhibitors showcase a wide range of products and services for broker-dealer firms. Learn more and connect with exhibitors at the Annual Conference.

"There is a diverse mix of businesses to select from—very helpful."

"I'm very pleased with the quality of exhibitors in attendance."

"The exhibitors were very informative and I walked away with meaningful discussions."

—2016 Annual Conference Attendees

ACA Compliance

Actiance

AI Insight, Inc.

Bates Group LLC

BitSight Technologies

Bloomberg

BlueAlly

Business Information Group (BIG)

CFM Partners, Inc.

Charles Schwab

Chetu, Inc.

Compliance Risk Concepts, LLC

Delta Data

Docupace Technologies

DST

Entreda

Fidelity Designated Brokerage Services

FIS Global

Foreside

Global Relay

Hearsay Systems

Hewlett Packard Enterprise

Intapp

INTL FCStone Financial Inc.

Iron Mountain

Kaplan Financial Education

Knopman Marks Financial Training

Law360

McDonald Information Services

Mercer Consumer

Micro Focus

MyComplianceOffice

National Regulatory Services (NRS)

National Society of Compliance Professionals (NSCP)

NCS Regulatory Compliance

New York Institute of Finance

n-Tier Financial Services

Pinpoint Global Communications

Prometric

Proofpoint

QuestCE

Red Oak Compliance Solutions

RedOwl

RegEd

Renaissance Regulatory Services, Inc.

Roka Security, LLC

RSI Security

SiteQuest Technologies

Slack Technologies

Smarsh

Solomon Exam Prep

TD Ameritrade

The SDDCO Group

Thomson Reuters

Thomson Reuters Risk Management Solutions

Vertafore

WithumSmith+Brown, PC

ZL Technologies, Inc.

PLATINUM-LEVEL EXHIBITOR

★ Smarsh

GOLD-LEVEL EXHIBITORS

★ Bloomberg ★ Proofpoint

SILVER-LEVEL EXHIBITORS

★ Iron Mountain ★ TD Ameritrade ★ Vertafore