

Stay Looped in on Small Firm Topics



2018 FINRA

Small Firm Conference

November 7 – 8 | Santa Monica, CA

This conference focuses on effective practices and tips for complying with FINRA rules—from the unique perspective of small firms. Attend this year's conference to hear the latest regulatory updates, learn new approaches and to stay on top of small firm topics.



Register at www.finra.org/smallfirmconference2018

Stay updated and share your comments using #FinraSF

Agenda | Wednesday, November 7

Wednesday, November 7	
12:00 p.m. – 5:30 p.m.	Registration
2:00 p.m. – 2:05 p.m.	Welcome Remarks Chip Jones, FINRA Member Relations and Education
2:05 p.m. – 2:25 p.m.	Address Robert Cook, FINRA President and CEO
2:25 p.m. – 3:00 p.m.	Fireside Chat With FINRA President and CEO Robert Cook , Executive Vice President of Member Supervision Bari Havlik , and Senior Vice President of Member Relations and Education Chip Jones
3:00 p.m. – 3:15 p.m.	Networking Break
3:15 p.m. – 4:15 p.m.	Digital Communications
	<p>▶ FINRA and industry experts discuss the guidance provided in FINRA <i>Regulatory Notice 17-18</i>. Panelists address how firms have implemented the guidance, effective practices, compliance considerations and developments in the use of digital technology. The panel also looks at archiving, engaging vendors and texting.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Amy Sochard, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Sheelagh Howett, Cantella & Co., Inc. • Chris LeVasseur, FINRA Los Angeles District Office • Harry Striplin, Umpqua Investments, Inc.
4:15 p.m. – 4:30 p.m.	Networking Break
4:30 p.m. – 5:30 p.m.	Understanding the Cycle Examination Process
	<p>▶ This 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 the surveillance staff and examination team; discusses strong practices observed by the examination staff; and summarizes the various types of examinations.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • David Greene, FINRA Los Angeles District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Lance Burkett, FINRA Denver District Office • Andrew (Andy) Dunbar, Bel Air Securities • Michelle Thomas, WBB Securities, LLC
5:30 p.m. – 7:00 p.m.	Networking Reception

Thursday, November 8	
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 10:00 a.m.	Cybersecurity Guidance for Small Firms
	<p>▶ It is crucial that small financial firms take proper cybersecurity measures to protect their customers and their firm. During this session, panelists provide risk-based, threat-informed effective practices applicable to small firms and supportive of their overall business model to increase their security and ensure the protection of customer and firm data.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Gregory (Greg) Markovich, FINRA Chicago District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Jay Copeland, The Strategic Financial Alliance, Inc. • Tyler Gray, MicroVenture Marketplace, Inc. • Paul Welding, Institutional Cash Distributors (ICD)

Contact Information | If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6980.

For more information and to register, please visit www.finra.org/smallfirmconference2018

Agenda | Thursday, November 8 | continued

10:00 a.m. – 10:15 a.m.	Networking Break
10:15 a.m. – 11:15 a.m.	Cryptocurrencies and Other Digital Assets: Small Firm Considerations
	<p>▶ Join FINRA staff and industry experts as they discuss the rapidly evolving developments in the areas of digital assets. Panelists address related market and regulatory challenges, as well as the implications for small firms seeking to become involved in this space.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Haimera (Haime) Workie, FINRA Emerging Regulatory Issues <p>Panelists:</p> <ul style="list-style-type: none"> • Bryan Bennet, U.S. Securities and Exchange Commission (SEC) • Stephen Sikes, SoFi Securities, LLC • Hardeep Walia, Motif
11:15 a.m. – 11:30 a.m.	Networking Break
11:30 a.m. – 12:30 p.m.	Clearing Firm Relationships
	<p>▶ 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 resources and services clearing firms offer, and practices for integrating these tools into introducing firms' compliance processes. Panelists also discuss the benefits and operations of tri-party clearing arrangements</p> <p>Moderator:</p> <ul style="list-style-type: none"> • John Veator, FINRA Member Relations and Education <p>Panelists:</p> <ul style="list-style-type: none"> • Lana Calton, Hilltop Securities Inc. • Demetrios (Jay) Koutros, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation • Wendy Lanton, Lantern Investments, Inc.
12:30 p.m. – 1:15 p.m.	Networking Lunch
1:15 p.m. – 1:45 p.m.	Dessert With Exhibitors
1:45 p.m. – 2:45 p.m.	Outside Business Activities (OBAs) and Private Securities Transactions (PSTs)
	<p>▶ 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, as necessary, mitigate. Join industry practitioners and FINRA staff as they cover conflicts arising from OBAs and PSTs, and keys to handling them and complying with regulatory requirements, including situations involving dually registered advisors. Panelists also discuss proposed changes to the OBA and PST rules.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • James (Jim) Wrona, FINRA Office of General Counsel <p>Panelists:</p> <ul style="list-style-type: none"> • Melinda (Mimi) LeGaye, Moody Securities, LLC • Stephen (Steve) Mack, Mack Investment Securities, Inc. • Thomas (Tom) Mellett, FINRA San Francisco District Office
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Upcoming Regulatory Changes
	<p>▶ During this session, panelists preview and discuss upcoming rule changes, proposals and other regulatory initiatives.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Meredith Cordisco, FINRA Office of General Counsel <p>Panelists:</p> <ul style="list-style-type: none"> • Donald (Don) Lopezi, FINRA West Region • Paige Pierce, Larimer Capital Corporation • Kelly Shoop, U.S. Securities and Exchange Commission (SEC)
4:00 p.m.	Conference Adjourns

Featured Speakers



Robert W. Cook—President and Chief Executive Officer

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation.

From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on proposed rule filings and new product listings from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing a range of initiatives and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure.

Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters.

Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.



Bari Havlik—Executive Vice President for Member Supervision

Bari Havlik is Executive Vice President for Member Supervision. In this capacity, Ms. Havlik leads FINRA's Member Regulation program, which includes surveillance and examination programs for member firms.

Previously, Ms. Havlik was a Senior Vice President and Chief Compliance Officer for The Charles Schwab Corporation. She began her career in financial services in 1982, and has worked for discount brokerage, full service retail and institutional securities firms, as well as bank-affiliated broker-dealers.

Ms. Havlik received her undergraduate degree from DePaul University. She serves on the board of Creativity Explored, a non-profit that gives artists with developmental disabilities the means to create and share their work with the community, celebrating the power of art to change lives. Before relocating to New York, she also served on the board of GirlVentures, a non-profit that inspires girls to lead through outdoor adventure, inner discovery and collective action.

Speakers | as of October 29, 2018

Bryan Bennett	U.S. Securities and Exchange Commission (SEC)
Lance Burkett	FINRA Denver District Office
Lana Calton	Hilltop Securities Inc.
Robert Cook	FINRA
Jay Copeland	The Strategic Financial Alliance, Inc.
Meredith Cordisco	FINRA Office of General Counsel
Andrew (Andy) Dunbar	Bel Air Securities
Tyler Gray	MicroVenture Marketplace, Inc.
David Greene	FINRA Los Angeles District Office
Bari Havlik	FINRA Member Supervision
Sheelagh Howett	Cantella & Co., Inc.
Chip Jones	FINRA Member Relations and Education
Demetrios (Jay) Koutros	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Wendy Lanton	Lantern Investments, Inc.
Melinda (Mimi) LeGaye	Moody Securities, LLC
Chris LeVasseur	FINRA Los Angeles District Office
Donald (Don) Lopez	FINRA West Region
Stephen (Steve) Mack	Mack Investment Securities, Inc.
Gregory (Greg) Markovich	FINRA Chicago District Office
Thomas (Tom) Mellett	FINRA San Francisco District Office
Paige Pierce	Larimer Capital Corporation
Kelly Shoop	U.S. Securities and Exchange Commission (SEC)
Stephen Sikes	SoFi Securities, LLC
Amy Sochard	FINRA Advertising Regulation
Harry Striplin	Umpqua Investments, Inc.
Michelle Thomas	WBB Securities, LLC
John Veator	FINRA Member Relations and Education
Hardeep Walia	Motif
Paul Welding	Institutional Cash Distributors (ICD), LLC
Haimera (Haime) Workie	FINRA Emerging Regulatory Issues
James (Jim) Wrona	FINRA Office of General Counsel



Exhibitors

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

Current exhibitors include:

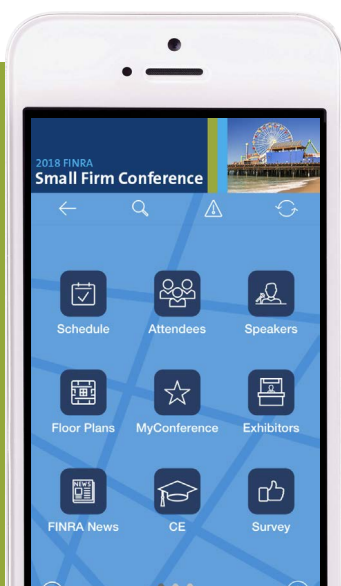
- ▶ ACA Compliance Group
- ▶ Arthur J Gallagher
- ▶ Global Relay
- ▶ INTL FCStone Financial Inc.
- ▶ IonLake
- ▶ Mercer
- ▶ Raymond James Custody & Clearing
- ▶ Red Oak Compliance
- ▶ Renaissance Regulatory Services, Inc.
- ▶ Riskut
- ▶ SDDco Group
- ▶ Smarsh
- ▶ Solomon Exam Prep
- ▶ Sycamore Company
- ▶ Vertafore
- ▶ WebCE

The exhibitor showcase for the Small Firm Conference is sold out. Please contact Jeffrey Arcuri at (508) 759-8180 or email Jeffrey.Arcuri@finra.org for other exhibitor opportunities.

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®], Certified Financial Planner (CFP) continuing education credits and Continuing Legal Education (CLE) continuing education (CE) credits.

CLE attendees will receive a five (5)-credit CLE CE voucher from NACLE (National Academy of Continuing Legal Education) for attending the Small Firm Conference.



2018 FINRA Small Firm Conference App

Our conference app is created specifically for Small Firm 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. It includes information about:

- ▶ speakers;
- ▶ sessions;
- ▶ exhibitors;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.

For more information and to register, please visit www.finra.org/smallfirmconference2018

Registration | Hotel and Travel Information



How to Register

To register, visit www.finra.org/smallfirmconference2018 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 (202) 728-6980 or send an email to 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

The special discounted rate for the first 50 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$50 processing fee—will be granted to written requests received 14 days or more prior to the start of the conference. We regret that refunds will not be granted after October 24, 2018.

Registration Rates

REGISTER NOW @

IN-PERSON—INDIVIDUAL	The Small Firm Conference is sold out and we currently have a waitlist. If you are looking for other educational offerings, please consider registering for the 2019 FINRA Annual Conference —which includes sessions designed specifically for small firms.
FINRA Member Firm must provide valid CRD #	
Non-Member	
Government/State/Regulator	
IN PERSON GROUP* (Per Person)	
FINRA Member Firm must provide valid CRD #	
Non-Member	

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

Conference fees include attendance to all sessions and conference materials, an evening reception on Wednesday, and continental breakfast and lunch on Thursday.

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.

Hotel Information

Hotel Reservations

The room block at the Fairmont Miramar Hotel and Bungalows is sold out. FINRA has secured a room block at the Huntley Santa Monica Beach Hotel, located at 1111 Second Street in Santa Monica. The room rate of \$349, plus tax per night, is available until October 19, 2018, or until the room block is sold out. Hotel reservations will be accepted on a space- and rate-available basis. Reserve your room by calling the Huntley Santa Monica Beach Hotel at (888) 532-5155 and identify yourself as an attendee of FINRA's 2018 Small Firm Conference.

The 2018 Small Firm Conference takes place at: Fairmont Miramar Hotel & Bungalows, Santa Monica | 101 Wilshire Boulevard, Santa Monica, CA 90401

For more information and to register, please visit www.finra.org/smallfirmconference2018