2019 FINRA Annual Conference

May 15 – 17
Washington, DC

Where Industry Experts Engage

LISTEN. LEARN. CONNECT.

▶ Agenda
▶ Wi-Fi Code
▶ App Information
▶ CE Credit Information
▶ Map
▶ Innovation and Business Zones
▶ Office Hours Information
▶ Exhibitor List
▶ And more
Set Up Wi-Fi Access

Network: FINRA Conference
Wi-Fi Code: finra1939

Download the Conference App

Download the Annual Conference app for access to all conference materials—including session presentations, handouts and session descriptions—and to sign up for office hours. See the App Tip Sheet on pages 4-5 for more information.

1. Go to the App Store on your mobile device (Google Play Store/iTunes App Store).
2. Search for “FINRA's Events” and then download the app.
3. When the download is complete, open the app.
4. Enter your user ID (the email address you used to register for the conference) and password (finra1939). If you have previously logged into the app and changed your password, the same password will apply.
5. Click on the “Events” icon and then select “FINRA Annual Conference.”

Review the Agenda and Floor Plan

Take a few moments to plan your days by reviewing the information in this guide and in the conference app. A floor plan is located in the center of this program to help you become familiar with the conference layout.

Sign Up for Office Hours

FINRA staff members are available throughout the conference to discuss firm-specific issues. To schedule a 15-minute appointment, sign up using the conference app or visit the Information Booth on level 3. FINRA experts will be on hand to discuss:

- Advertising Regulation
- Anti-Money Laundering (AML)
- Financial Technology (FinTech)
- FINRA Membership Application Program (MAP)
- Member Supervision
- Priorities Letter and the Examination Findings Report
- Senior Helpline
- Qualifications, Exams and Continuing Education

View the schedule on pages 20-21 for more information.

Receive CLE, CFP or CRCP CE Credits

The FINRA Annual Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)® and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits.

To receive CLE/CFP CE credits, you must check in and out of each session to confirm your attendance. In the app, tap the schedule icon, select the day, choose session, and then click the check in/out icon to enter the custom code provided by the moderator and/or in the PowerPoint presentation. This year, attendees are not required to complete a CE affidavit form for CLE/CFP CE credits.

CRCP® designees may earn CE credit for attending the conference. Visit www.finra.org/crcp for more information and to get credit for attending.

Visit an Information Booth for Help

Information Booths are available on Levels 2, 3 and 4, where you can find general information about the event. See the conference map on pages 16-17 for locations.
Office Hours: To schedule an appointment through the app, click on the “Office Hours” icon to see a listing of available appointments, and then tap the “◯” icon (iPhone) or “□” icon (Android) next to the listing to schedule your appointment.

MyConference: Mark sessions, attendees, exhibitors, etc., as favorites by tapping the “◯” icon (iPhone) or “□” icon (Android) next to each name. From MyConference, you can view your personalized schedule, contacts, exhibitors and your notes.

MyNotes: Take notes on sessions, speakers, exhibitors and attendees throughout the app using the “Notes” tab in each section. You can view all of your notes under “MyNotes” located in the “MyConference” section.

Emailing Options: You can email information to yourself—like notes and contact info—through the app from MyConference. Tap the “Export” button in the upper right corner, then select the items to export, next tap “Send,” and then enter your email address.

Survey: Submit feedback on the overall conference experience via the “Survey” icon on the app home page. Please note: Once you start the survey, if you navigate away from the page, your answers will not be saved.

MyProfile: Enter your contact information through the “MyProfile” icon by clicking on the edit button in the upper right corner. You can choose the information you wish to make public to attendees or keep private and save.

Floor Plans: The “Floor Plans” section provides a hotel floor plan for the conference space—use this to easily find the locations of sessions and the exhibitors you want to visit.

FAQs: Review the answers to the most frequently asked questions.

HELP: For assistance with the app, visit an Information Booth at the conference.
**Session Tracks**

The 2019 FINRA Annual Conference session tracks are designed to help you find the content suited to your practice or level of expertise. All sessions are open to all conference attendees.

**Advanced Regulatory** | sessions discuss practical solutions and dive deeper into the subject matter—these sessions are appropriate for attendees with a deep understanding of the concepts to be discussed.

**Anti-Money Laundering (AML)** | sessions provide attendees with information about relevant rules and regulations, current trends in money laundering, and effective practices for monitoring and reporting suspicious activity.

**Back-to-Basics Compliance Program** | sessions are designed for attendees who are new to the industry—and provide a basic groundwork of FINRA rules, regulations and implementation.

**Cybersecurity** | sessions help attendees stay current on today’s cybersecurity challenges and explore solutions for protecting organizations from ongoing cyber threats.

**Financial Technology (FinTech)** | sessions discuss current technology and how it is being used to meet regulatory requirements.

**Fixed Income** | sessions provide answers to commonly asked questions regarding fixed income concerns and offer effective practices.

**Institutional** | sessions cover industry rules and regulations that are impacting institutional firms and discuss challenges and risks unique to their businesses.

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**Agenda**

**Tuesday, May 14**

5:00 p.m. – 7:00 p.m. | Registration and “Kick Off” Happy Hour
*Liberty and Independence Ballroom Foyers (Level 4)*

**Wednesday, May 15**

7:30 a.m. – 6:00 p.m. | Registration and Information
*Supreme Court Room (Level 4)*

8:00 a.m. – 6:00 p.m.
- **FINRA Innovation and Business Zones Demos**
  *Marquis Ballroom Foyer (Level 2) and Level 3 Foyer*
- **Network With Exhibitors**
  *Liberty and Independence Ballroom Foyers (Level 4)*

7:30 a.m. – 5:00 p.m.
- **Power Lounge and Refreshments**
  *Capitol Room (Level 4)*

7:30 a.m. – 9:30 a.m.
- **General Buffet Breakfast**
  *Independence Ballroom A-D (Level 4)*

9:00 a.m. – 10:00 a.m.
- **New Conference Attendee Orientation and Breakfast**
  *Shaw and LeDroit Park (Level 3)*

10:00 a.m. – 10:10 a.m. | Plenary Session I
- **Welcome Remarks** — Chip Jones
  *Marquis Ballroom 5-10 (Level 2)*

10:10 a.m. – 11:00 a.m. | Plenary Session II
- **Fireside Chat** — Featuring Robert Cook, Bari Havlik and Chip Jones
  *Marquis Ballroom 5-10 (Level 2)*

11:00 a.m. – 11:15 a.m. | Networking and Demos Break
- **FINRA Innovation and Business Zones**
  *Marquis Ballroom Foyer (Level 2) and Level 3 Foyer*
- **Network With Exhibitors**
  *Liberty and Independence Ballroom Foyers (Level 4)*

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**LIVE BROADCAST ATTENDEES:** 📺
<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Location</th>
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</thead>
<tbody>
<tr>
<td>11:15 a.m.</td>
<td>Business Continuity and Disaster Recovery: Lessons Learned</td>
<td>Independence Ballroom E-H (Level 4)</td>
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<td>Emerging FinTech Trends <strong>(FinTech Track)</strong></td>
<td>Liberty Ballroom M-P (Level 4)</td>
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<td>AML Challenges and Effective Practices <strong>(AML Track)</strong></td>
<td>Independence Ballroom A-D (Level 4)</td>
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<td>Chief Compliance Officer's (CCO's) Role in Cybersecurity <strong>(Cybersecurity Track)</strong></td>
<td>Liberty Ballroom I-L (Level 4)</td>
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<td>Supervising Variable Annuities Business <strong>(Advanced Regulatory Track)</strong></td>
<td>Salon 12-13 (Level 2)</td>
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<td>Regulatory Exams: How to Prepare <strong>(B2BC Track)</strong></td>
<td>Shaw and LeDroit Park (Level 3)</td>
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<tr>
<td>12:15 p.m.</td>
<td>LUNCHES</td>
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<td>CRCP® Luncheon (pre-registration required)</td>
<td>Marquis Ballroom 1-4 (Level 2)</td>
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<td>Speaker: <strong>James Angel</strong>, McDonough School of Business, Georgetown University</td>
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<td>General Buffet Lunch</td>
<td>Marquis Ballroom 5-10 (Level 2)</td>
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<td>1:15 p.m.</td>
<td>Dessert With Exhibitors</td>
<td>Liberty and Independence Ballroom Foyers (Level 4)</td>
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<td>1:30 p.m.</td>
<td>CRCP® Lounge</td>
<td>Penn Quarter (Level 3)</td>
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<td>1:45 p.m.</td>
<td>Concurrent Sessions II</td>
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<td></td>
<td>Creating Effective Supervision Structures <strong>(Medium and Large Firm Focus)</strong></td>
<td>Independence Ballroom E-H (Level 4)</td>
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<td>Common Examination Findings <strong>(Small Firm Focus)</strong></td>
<td>Liberty Ballroom M-P (Level 4)</td>
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<td>Suspicious Activity Monitoring: What to Look for and How to Find it <strong>(AML Track)</strong></td>
<td>Independence Ballroom A-D (Level 4)</td>
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<td>FINRA's Digital Transformation and New CRD Expansion</td>
<td>Liberty Ballroom I-L (Level 4)</td>
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<td>2:45 p.m.</td>
<td>Networking and Demos Break</td>
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<td>FINRA Innovation and Business Zones</td>
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<td><strong>Marquis Ballroom Foyer</strong> (Level 2) and Level 3 Foyer</td>
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<td>3:00 p.m.</td>
<td>Concurrent Sessions III</td>
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<td>Outside Business Activities (OBAs) and Private Securities Transactions (PSTs) <strong>(Advanced Regulatory Track)</strong></td>
<td>Independence Ballroom E-H (Level 4)</td>
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<td>Social Media and Digital Communications</td>
<td>Liberty Ballroom M-P (Level 4)</td>
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<td>Common Findings Related to Books and Records</td>
<td>Independence Ballroom A-D (Level 4)</td>
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<td>Cybersecurity Guidance: How Small Firms Can Better Protect Their Business <strong>(Small Firm Focus)</strong></td>
<td>Liberty Ballroom I-L (Level 4)</td>
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<td>Understanding Proposed Changes to the Continuing Education Program and Performance of the Restructured Qualification Examination Program</td>
<td>Marquis Ballroom 1-4 (Level 2)</td>
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<td>Fixed Income Sales and Trading: Current Issues <strong>(Fixed Income Track)</strong></td>
<td>Salon 12-13 (Level 2)</td>
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<td>Suitability: What You Need to Know <strong>(B2BC Track)</strong></td>
<td>Shaw and LeDroit Park (Level 3)</td>
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<td>Networking and Demos Break</td>
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<td><strong>Marquis Ballroom Foyer</strong> (Level 2) and Level 3 Foyer</td>
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<td>4:00 p.m.</td>
<td>Networking and Demos Break</td>
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<td><strong>Marquis Ballroom Foyer</strong> (Level 2) and Level 3 Foyer</td>
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<td>4:00 p.m.</td>
<td>Networking With Exhibitors</td>
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<td>4:45 p.m.</td>
<td>Networking With Exhibitors</td>
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# Thursday, May 16

**4:15 p.m. – 5:15 p.m. | Plenary Session III**
- Keynote Speaker: Chris Gardner, Author of "The Pursuit of Happyness" 🎨  
  *Marquis Ballroom 5-10 (Level 2)*

**6:00 p.m. – 7:00 p.m. | Pre-Networking Reception**  
Sponsored by Platinum Exhibitor Smarsh  
*Mezzanine Level*

**7:00 p.m. | Buses begin loading**  
*Marquis Rear and Side Lobbies*

**7:30 p.m. – 9:30 p.m. | Opening-Night Reception**  
*International Spy Museum*  
700 L’Enfant Plaza, SW  
Washington, DC 20024

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**8:30 a.m. – 9:30 a.m. | Concurrent Sessions IV**
- Managing Cybersecurity Risks *(Cybersecurity Track)* 🎨  
  *Independence Ballroom E-H (Level 4)*
- High-Risk Activity Impacting Retail Investors 🎨  
  *Liberty Ballroom M-P (Level 4)*
- Digital Assets and Initial Coin Offerings *(Advanced Regulatory Track) (FinTech Track)*  
  *Marquis Ballroom 1-4 (Level 2)*
- Registration and Disclosure Reporting Requirements *(Institutional Track)*  
  *Salon 12-13 (Level 2)*
- Financial and Operational Effective Practices *(Small Firm Focus)*  
  *Shaw and LeDroit Park (Level 3)*

**9:00 a.m. – 12:00 p.m.**
- CRCP® Lounge  
  *Penn Quarter (Level 3)*

**9:30 a.m. – 9:45 a.m. | Networking and Demos Break**
- FINRA Innovation and Business Zones  
  *Marquis Ballroom Foyer (Level 2) and Level 3 Foyer*
- Networking With Exhibitors  
  *Liberty and Independence Ballroom Foyers (Level 4)*

**9:45 a.m. – 10:45 a.m. | Concurrent Sessions V**
- Mark-Up Disclosure Requirements *(Advanced Regulatory Track) (Fixed Income Track)* 🎨  
  *Independence Ballroom E-H (Level 4)*
- Common Examination Findings for Institutional Firms *(Institutional Track)* 🎨  
  *Liberty Ballroom M-P (Level 4)*
- Conflicts of Interest, Gifts and Entertainment, Personal Account Trading and Incentives  
  *(Advanced Regulatory Track)*  
  *Independence Ballroom A-D (Level 4)*
- Communications With the Public: Current Topics *(Advanced Regulatory Track)*  
  *Liberty Ballroom I-L (Level 4)*
- Effective Practices in Fraud Detection *(B2BC Track)*  
  *Shaw and LeDroit Park (Level 3)*
<table>
<thead>
<tr>
<th>Time</th>
<th>Session Description</th>
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<tr>
<td>10:45 a.m. – 11:00 a.m.</td>
<td>Networking and Demos Break</td>
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</tbody>
</table>
| 10:45 a.m. – 11:00 a.m. | FINRA Innovation and Business Zones  
Marquis Ballroom Foyer (Level 2) and Level 3 Foyer |
| 10:45 a.m. – 11:00 a.m. | Networking With Exhibitors  
Liberty and Independence Ballroom Foyers (Level 4) |
| 11:00 a.m. – 12:00 p.m. | Concurrent Sessions VI |
| 11:00 a.m. – 12:00 p.m. | Using Third-Party Vendors to Enhance Compliance  
Independence Ballroom E-H (Level 4) |
| 11:00 a.m. – 12:00 p.m. | Enforcement Initiatives, Developments and Priorities  
Liberty Ballroom M-P (Level 4) |
| 11:00 a.m. – 12:00 p.m. | The Three Lines of Defense: Supervision, Risk Management & Compliance and Internal Audit  
Independence Ballroom A-D (Level 4) |
| 11:00 a.m. – 12:00 p.m. | Branch Cybersecurity Controls (Cybersecurity Track)  
Liberty Ballroom I-L (Level 4) |
| 11:00 a.m. – 12:00 p.m. | Mergers, Acquisitions and Business Transfers (Institutional Track)  
Salon 12-13 (Level 2) |
| 11:00 a.m. – 12:00 p.m. | Effective Documentation Practices for Financial Advisors (B2BC Track)  
Shaw and LeDroit Park (Level 3) |
| 12:00 p.m. – 1:00 p.m.  | LUNCHES |
| 12:00 p.m. – 1:00 p.m.  | Diversity and Inclusion Luncheon Hosted by FINRA President and CEO Robert Cook  
Marquis Ballroom 1-4 (Level 2) |
| 12:00 p.m. – 1:00 p.m.  | Speakers: Audria Pendergrass Lee, FINRA HR Diversity & Worklife  
Gerri Walsh, FINRA Foundation President and Senior Vice President of Investor Education |
| 12:00 p.m. – 1:00 p.m.  | General Buffet Lunch  
Marquis Ballroom 5-10 (Level 2) |
| 1:00 p.m. – 1:30 p.m.  | Dessert With Exhibitors  
Liberty and Independence Ballroom Foyers (Level 4) |
| 1:00 p.m. – 4:00 p.m.  | CRCP® Lounge  
Penn Quarter (Level 3) |
| 1:30 p.m. – 2:30 p.m.  | Concurrent Sessions VII |
| 1:30 p.m. – 2:30 p.m.  | How FINRA Rules Get Made, Reviewed and Updated  
Independence Ballroom E-H (Level 4) |
| 1:30 p.m. – 2:30 p.m.  | Branch Office Inspections: Implementing a Risk-Based Program and Identifying Red Flags  
Liberty Ballroom M-P (Level 4) |
| 1:30 p.m. – 2:30 p.m.  | Detecting, Preventing and Investigating Fraud and Misappropriation  
Independence Ballroom A-D (Level 4) |
| 1:30 p.m. – 2:30 p.m.  | So You’ve Been Named in an Arbitration—Tips and Tools for Small Firms to Navigate FINRA Arbitration (Small Firm Focus)  
Liberty Ballroom I-L (Level 4) |
| 1:30 p.m. – 2:30 p.m.  | Clearing and Operational Issues (Advanced Regulatory Track)  
Salon 12-13 (Level 2) |
| 1:30 p.m. – 2:30 p.m.  | Fundamentals of FINRA Rule 2210 (B2BC Track)  
Shaw and LeDroit Park (Level 3) |
| 2:30 p.m. – 2:45 p.m.  | Networking and Demos Break |
| 2:30 p.m. – 2:45 p.m.  | FINRA Innovation and Business Zones  
Marquis Ballroom Foyer (Level 2) and Level 3 Foyer |
| 2:30 p.m. – 2:45 p.m.  | Networking With Exhibitors  
Liberty and Independence Ballroom Foyers (Level 4) |
| 2:45 p.m. – 3:45 p.m.  | Concurrent Sessions VIII |
| 2:45 p.m. – 3:45 p.m.  | Working With Multigenerational Clients and Staff  
Independence Ballroom E-H (Level 4) |
| 2:45 p.m. – 3:45 p.m.  | Complex Products and Alternative Investments  
Liberty Ballroom M-P (Level 4) |
| 2:45 p.m. – 3:45 p.m.  | Cybersecurity Response Plans and Resources (Advanced Regulatory Track) (Cybersecurity Track)  
Independence Ballroom A-D (Level 4) |
| 2:45 p.m. – 3:45 p.m.  | Common Examination Findings (Medium and Large Firm Focus)  
Liberty Ballroom I-L (Level 4) |
| 2:45 p.m. – 3:45 p.m.  | Building and Maintaining an Ethical Culture  
Marquis Ballroom 1-4 (Level 2) |
| 2:45 p.m. – 3:45 p.m.  | How to Keep Up to Date With Regulatory Changes (B2BC Track)  
Shaw and LeDroit Park (Level 3) |
3:45 p.m. – 4:00 p.m. | Networking and Demos Break
- FINRA Innovation and Business Zones  
  Marquis Ballroom Foyer (Level 2) and Level 3 Foyer
- Networking With Exhibitors  
  Liberty and Independence Ballroom Foyers (Level 4)

4:00 p.m. – 5:00 p.m. | Concurrent Sessions IX
- Reviewing Recent Enforcement Actions and Regulatory Actions to Manage AML Risks  
  (AML Track)  
  Independence Ballroom E-H (Level 4)
- FINRA’s Suitability Rule and SEC’s Proposed Regulation Best Interest  
  Liberty Ballroom M-P (Level 4)
- Market Regulation Priorities: Detecting and Preventing Misconduct  
  Independence Ballroom A-D (Level 4)
- Margin Requirements: What You Need To Know  
  Liberty Ballroom I-L (Level 4)
- FinTech for Wealth Management  
  (FinTech Track)  
  Marquis Ballroom 1-4 (Level 2)
- Municipal Securities: Origination, Sales and Trading  
  (Fixed Income Track)  
  Salon 12-13 (Level 2)
- Conflicts of Interest in Investment Banking  
  (Institutional Track)  
  Shaw and LeDroit Park (Level 3)

5:00 p.m. – 7:00 p.m. | Networking Reception  
  Liberty and Independence Ballroom Foyers (Level 4)

Friday, May 17

7:30 a.m. – 11:00 a.m. | Registration and Information  
  Salon 16 (Level 2)

7:30 a.m. – 9:30 a.m.
- General Buffet Breakfast  
  Marquis Ballroom 1-4 (Level 2)

8:00 a.m. – 9:30 a.m. | Networking and Demos Break  
- FINRA Innovation and Business Zones  
  Marquis Ballroom Foyer (Level 2)
Plug in at the Power Lounge

- Plug in to educational sessions via live broadcast.
- Plug in and charge your mobile devices.
- Recharge with refreshments.

**Wednesday**
7:30 a.m. – 5:00 p.m.

**Thursday**
7:30 a.m. – 4:00 p.m.
Networking And Special Events

FINRA staff will be demonstrating various FINRA systems and online resources, and representatives from several FINRA departments will be available to answer questions. Visit them on level 2 in the Marquis Ballroom Foyer and level 3 Foyer.

<table>
<thead>
<tr>
<th>FINRA Innovation And Business Zones</th>
<th>Level</th>
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</thead>
<tbody>
<tr>
<td>Cybersecurity Resources for Firms</td>
<td>2</td>
</tr>
<tr>
<td>Digital Experience Transformation (DXT) and Web CRD®</td>
<td>2</td>
</tr>
<tr>
<td>Dispute Resolution</td>
<td>3</td>
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<tr>
<td>FINRA Website Redesign and Rulebook Consolidation</td>
<td>2</td>
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<tr>
<td>Firm Compliance Resources</td>
<td>2</td>
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<tr>
<td>Member Supervision Business Segmentation</td>
<td>2</td>
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<tr>
<td>Ombudsman</td>
<td>3</td>
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<tr>
<td>Report Center and OTC Trade Compliance Tools</td>
<td>2</td>
</tr>
<tr>
<td>Securities Industry Essentials™ (SIE) and Continuing Education Transformation</td>
<td>3</td>
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</tbody>
</table>

Business Model—Ribbon Key

Use the key below to network with other attendees with similar business models.

- Retail
- Retail—Independent Contractor
- Institutional
- Insurance Affiliate
- Private Placement/Mergers and Acquisitions
- Fixed Income
- Clearing

Supercharge Your Network

Take advantage of the many opportunities throughout the conference to meet with colleagues, exchange ideas and interact with FINRA committee members and FINRA senior staff. See the conference app for more information.

- Certified Regulatory and Compliance Professional (CRCP)® Luncheon
  Wednesday, May 15 | 12:15 p.m. – 1:15 p.m. (pre-registration required)

- Diversity and Inclusion Luncheon
  Thursday, May 16 | 12:00 p.m. – 1:00 p.m.

- Dessert With Exhibitors
  Wednesday, May 15 | 1:15 p.m. – 1:45 p.m.
  Thursday, May 16 | 1:00 p.m. – 1:30 p.m.

- Pre-Networking Reception | Hosted by Platinum Exhibitor Smarsh
  Wednesday, May 15 | 6:00 p.m. – 7:00 p.m.

- Opening-Night Reception at the International Spy Museum
  Wednesday, May 15 | 7:30 p.m. – 9:30 p.m.

- Breakfast With Member Supervision Staff
  Thursday, May 16 | 7:30 a.m. – 8:30 a.m.

- Networking Reception
  Thursday, May 16 | 5:00 p.m. – 7:00 p.m.

- CRCP® Lounge
  Wednesday, May 15 | 1:30 p.m.- 2:30 p.m. and Cupcake Celebration from 3:00 p.m. – 6:00 p.m.
  Thursday, May 16 | 9:00 a.m. – 12:00 p.m. and 1:00 p.m. – 4:00 p.m.
Office Hours
Office Hours provides an opportunity for conference attendees to meet one-on-one with FINRA staff. Several FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific issues. Attendees can make an appointment via the conference app or onsite at the Information Desk on level 3.

<table>
<thead>
<tr>
<th>Wednesday, May 15</th>
<th>Judiciary Square</th>
<th>Wednesday, May 15</th>
<th>Farragut North</th>
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<tbody>
<tr>
<td>11:15 a.m. – 12:15 p.m.</td>
<td><strong>FINRA Membership Application Program (MAP)</strong>&lt;br&gt;Lisa Robinson and Leyna Goro</td>
<td>11:15 a.m. – 12:15 p.m.</td>
<td><strong>Qualification, Examination and Continuing Education</strong>&lt;br&gt;Joe McDonald and Dave Scrams</td>
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<tr>
<td>1:45 p.m. – 2:45 p.m.</td>
<td><strong>Member Supervision (Midwest Region)</strong>&lt;br&gt;Jennifer Luginbill</td>
<td>1:45 p.m. – 2:45 p.m.</td>
<td><strong>Advertising Regulation</strong>&lt;br&gt;Wayne Louviere and Tim Holland</td>
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<td>3:00 p.m. – 4:00 p.m.</td>
<td><strong>Anti-Money Laundering (AML)</strong>&lt;br&gt;Jason Foye</td>
<td>3:00 p.m. – 4:00 p.m.</td>
<td><strong>Financial Technology (FinTech)</strong>&lt;br&gt;Kavita Jain and Alex Khachaturian</td>
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<thead>
<tr>
<th>Thursday, May 16</th>
<th>Judiciary Square</th>
<th>Thursday, May 16</th>
<th>Farragut North</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:30 a.m. – 9:30 a.m.</td>
<td><strong>Anti-Money Laundering (AML)</strong>&lt;br&gt;Blake Snyder</td>
<td>8:30 a.m. – 9:30 a.m.</td>
<td><strong>Priorities Letter and the Examination Findings Report</strong>&lt;br&gt;Steve Polansky</td>
</tr>
<tr>
<td>9:45 a.m. – 10:45 a.m.</td>
<td><strong>Financial Technology (FinTech)</strong>&lt;br&gt;Kavita Jain and Steve Polansky</td>
<td>9:45 a.m. – 10:45 a.m.</td>
<td><strong>Member Supervision (North Region)</strong>&lt;br&gt;Kayte Toczylowski</td>
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<tr>
<td>11:00 a.m. – 12:00 p.m.</td>
<td><strong>Member Supervision (West Region)</strong>&lt;br&gt;Tom Mellett</td>
<td>11:00 a.m. – 12:00 p.m.</td>
<td><strong>Advertising Regulation</strong>&lt;br&gt;Derek Ashworth and Lynn Lawson</td>
</tr>
<tr>
<td>1:30 p.m. – 2:30 p.m.</td>
<td><strong>Member Supervision (South Region)</strong>&lt;br&gt;Dan Stefek</td>
<td>1:30 p.m. – 2:30 p.m.</td>
<td><strong>Senior Helpline</strong>&lt;br&gt;Rob Mascio</td>
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<tr>
<td>2:45 p.m. – 3:45 p.m.</td>
<td><strong>Anti-Money Laundering (AML)</strong>&lt;br&gt;Blake Snyder</td>
<td>2:45 p.m. – 3:45 p.m.</td>
<td><strong>Financial Technology (FinTech)</strong>&lt;br&gt;Haime Workie and Alex Khachaturian</td>
</tr>
<tr>
<td>4:00 p.m. – 5:00 p.m.</td>
<td><strong>Member Supervision (New York Region)</strong>&lt;br&gt;Scott Gilbert</td>
<td>4:00 p.m. – 5:00 p.m.</td>
<td><strong>Advertising Regulation</strong>&lt;br&gt;Derek Ashworth and Lynn Lawson</td>
</tr>
</tbody>
</table>
Exhibitors (as of April 30, 2019)

Meet with representatives from more than 50 companies showcasing products and services designed to help you meet your compliance obligations. Refer to the exhibitor list in the conference app to learn more about the companies in attendance, and visit them in the exhibit space.

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Bates Group
Business Information Group
CellTrust Corporation
Charles Schwab & Co., Inc.
CipherTrace
Compliance Risk Concepts LLC
Docupace Technologies
Entreda, Inc.
Fidelity Investments
Global Relay
Hearsay Systems
INTL FCStone Financial Inc.
Iron Mountain Intellectual Property Management, Inc.
Jordan & Jordan
Kaplan Financial Education
Knopman Marks Financial Training
Mercer Health & Benefits
Micro Focus
Mimecast
MyComplianceOffice
MyRepChat
n-Tier Financial Services, LLC
National Regulatory Services (NRS)
National Society of Compliance Professionals (NSCP)

Nuance Communications
Owl Cyber Defense
Patrina Corporation
Pinpoint Global Communications
Prometric
Proofpoint
Quest CE
Red Oak Compliance Solutions
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SDDco Group
Securities Training Corporation
SiteQuest Technologies
Smarsh
Solomon Exam Prep
StarCompliance
Sterling
TD Ameritrade Designated Brokerage Services
Vault America
Venminder, Inc.
Veritone, Inc.
Vertafore
WithumSmith+Brown
Workplace by OS33
Zix

Notes
Thanks for attending. We hope to see you next year.

2020 FINRA Annual Conference
May 12 – 14, 2020
Marriott Marquis Washington, DC

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EXHIBITOR LEVELS

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