



2019 FINRA

# Institutional Conference

September 11 | New York, NY

Bringing together industry experts, executives and policymakers to share their specialized knowledge and experiences on topics affecting institutional firms across the country.



Register at [www.finra.org/2019Institutional](http://www.finra.org/2019Institutional)

Stay updated and share your comments using #FinraIC

# Agenda | Wednesday, September 11

7:30 a.m. – 4:00 p.m.	<b>Registration</b>
7:30 a.m. – 8:30 a.m.	Networking Breakfast
8:30 a.m. – 8:35 a.m.	<b>Welcome and Opening Remarks</b> <ul style="list-style-type: none"> <li>• <b>William (Bill) St. Louis</b>, FINRA Northeast Region</li> </ul>
8:35 a.m. – 9:05 a.m.	<b>Fireside Chat</b> Featuring FINRA President and CEO <b>Robert Cook</b> and Senior Vice President and Northeast Regional Director, Sales Practice <b>William (Bill) St. Louis</b>
9:05 a.m. – 9:15 a.m.	Networking Break
<b>9:15 a.m. – 10:15 a.m.</b>	<b>Supervision of Trading Desk Operations</b>
	<ul style="list-style-type: none"> <li>▶ This session focuses on the supervision of trading desk activities. Join FINRA staff and industry practitioners as they view supervisory responsibilities, discuss surveillance controls that can be implemented to mitigate risk associated with trading desk operations, and review effective risk tools.</li> </ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Jeffrey (Jeff) Herrmann</b>, FINRA New York District Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>William (Bill) Crooks</b>, FINRA Market Regulation</li> <li>• <b>Jill Ostergaard</b>, Exos Securities LLC</li> <li>• <b>Dean Webber</b>, Morgan Stanley</li> </ul>
10:15 a.m. – 10:30 a.m.	Networking Break
<b>10:30 a.m. – 11:30 a.m.</b>	<b>Conflicts of Interest</b>
	<ul style="list-style-type: none"> <li>▶ Join FINRA staff and industry professionals as they discuss helpful tips and tools for managing conflicts of interest. Panelists describe practices that raise conflicts of interest concerns and how to mitigate these issues.</li> </ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Jonah Arcade</b>, FINRA New York District Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Joshua (Josh) Greenstein</b>, Puma Capital, LLC</li> <li>• <b>Philip (Phil) Shaikun</b>, FINRA Office of General Counsel</li> <li>• <b>Carmine Venezia</b>, Goldman Sachs &amp; Co.</li> </ul>
11:30 a.m. – 12:30 p.m.	Networking Lunch and Dessert With Exhibitors
<b>12:30 p.m. – 1:30 p.m.</b>	<b>AML Challenges and Effective Practices</b>
	<ul style="list-style-type: none"> <li>▶ During this session, FINRA staff and industry practitioners discuss common challenges institutional firms face in establishing and implementing AML compliance programs, as well as practical solutions to these challenges that FINRA staff and industry professionals have developed and observed.</li> </ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Jason Foye</b>, FINRA Anti-Money Laundering Investigative Unit (AMLIU)</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Katherine (Kate) Johnson</b>, FINRA Anti-Money Laundering Investigative Unit (AMLIU)</li> <li>• <b>Joan (Joanie) Jones</b>, Piper Jaffray &amp; Co.</li> <li>• <b>Marianne Paoli</b>, HSBC Securities (USA), Inc.</li> </ul>
1:30 p.m. – 1:45 p.m.	Networking Break

## Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup>, and Certified Financial Planner (CFP) continuing education (CE) credits – plus a Continuing Legal Education (CLE) CE voucher.

# Agenda | Wednesday, September 11| continued

1:45 p.m. – 2:45 p.m.	<b>Common Examination Findings for Institutional Firms</b> <ul style="list-style-type: none"><li>▶ Join FINRA staff as they discuss the most common deficiencies noted during FINRA cycle examinations of institutional firms. Industry practitioners describe taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings pertaining to fixed income and equity sales, and trading business lines.</li></ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"><li>• <b>Scott Gilbert</b>, FINRA New York District Office</li></ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"><li>• <b>Gary Distell</b>, Guggenheim Securities, LLC</li><li>• <b>Eric Field</b>, Robert W. Baird &amp; Co.</li><li>• <b>Rajesh Mirchandani</b>, FINRA Market Regulation</li></ul>
2:45 p.m. – 3:00 p.m.	<b>Networking Break</b>
3:00 p.m. – 4:00 p.m.	<b>Ask FINRA Senior Staff</b> <ul style="list-style-type: none"><li>▶ FINRA senior leaders and industry experts discuss the regulatory environment and a range of topics affecting institutional firms.</li></ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"><li>• <b>William (Bill) St. Louis</b>, FINRA Northeast Region</li></ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"><li>• <b>Ornella Bergeron</b>, FINRA Office of Risk Oversight and Operational Regulation</li><li>• <b>Gene DeMaio</b>, FINRA Market Regulation</li><li>• <b>John Edmonds</b>, FINRA New York District Office</li><li>• <b>Scott Gilbert</b>, FINRA New York District Office</li></ul>
4:00 p.m.	<b>Conference Adjourns</b>

## Exhibitors

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

- ▶ Global Relay
- ▶ Owl.co
- ▶ Red Oak Compliance
- ▶ Renaissance Regulatory Services, Inc.
- ▶ Vigilant

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at (508) 759-8180 or email [Jeff.Arcuri@finra.org](mailto:Jeff.Arcuri@finra.org) to request a conference exhibitor package.



## 2019 FINRA Institutional Conference App

Our conference app is created specifically for the Institutional Conference; 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/2019Institutional](http://www.finra.org/2019Institutional)

# Registration | Travel and Hotel Information

## How to Register

To register, visit [www.finra.org/2019Institutional](http://www.finra.org/2019Institutional) 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](mailto: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 \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after August 26, 2019.

### 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.

REGISTER NOW @

### Fees

IN-PERSON—INDIVIDUAL	
FINRA Member Firm   must provide valid CRD #	\$945
FINRA Member Small Firm   must provide valid CRD #	\$495
Non-Member	\$1,325
Government/Regulator	\$670

  

IN PERSON GROUP* (Per Person)	
FINRA Member Firm   must provide valid CRD #	\$800
FINRA Member Small Firm   must provide valid CRD #	\$370
Non-Member	\$1,130

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

## 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

The 2019 Institutional Conference takes place at:

Crowne Plaza Times Square Manhattan  
1605 Broadway  
New York, NY 10019

### Hotel Reservations

A room block is available at the Crown Plaza Times Square Manhattan hotel for registered attendees. The special room rate of \$359 per night, plus tax, is available until August 20, 2019, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis.

To reserve a room, you must first register as an attendee for the conference. Please contact [conreg@finra.org](mailto:conreg@finra.org) with any additional questions.

For more information and to register, please visit [www.finra.org/2019Institutional](http://www.finra.org/2019Institutional)

## Featured Speaker



### **Robert W. Cook—President and Chief Executive Officer, FINRA**

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 over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions 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.

## Speakers | as of August 13, 2019

<b>Jonah Arcade</b>	FINRA New York District Office
<b>Ornella Bergeron</b>	FINRA Office of Risk Oversight and Operational Regulation
<b>Robert Cook</b>	FINRA
<b>William (Bill) Crooks</b>	FINRA Market Regulation
<b>Gene DeMaio</b>	FINRA Market Regulation
<b>Gary Distell</b>	Guggenheim Securities, LLC
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<b>William (Bill) St. Louis</b>	FINRA Northeast Region
<b>Dean Webber</b>	Morgan Stanley
<b>Carmine Venezia</b>	Goldman Goldman Sachs & Co. & Co.