



National Compliance Outreach Program

for Broker-Dealers

Washington, DC

July 27, 2017

Agenda

Registration (9:00 am – 10:30 am)

Welcome and Opening Remarks (10:30 am – 11:00 am)

Jay Clayton, *Chairman, SEC*

Robert Cook, *President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation*

Peter Driscoll, *Acting Director, National Examination Program, Office of Compliance Inspections and Examinations, SEC*

Panel 1: Insights from SEC and FINRA Leadership (11:00 am – 11:45 am)

Senior leaders from the SEC and FINRA discuss the regulatory environment and a range of topics affecting broker-dealers.

Peter Driscoll, *Acting Director, National Examination Program, Office of Compliance Inspections and Examinations, SEC (Moderator)*

Michael Piwowar, *Commissioner, SEC*

Robert Cook, *President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation*

Lunch (11:45 am – 1:00 pm)

Panel 2: Regulatory Hot Topics (1:00 pm – 2:00 pm)

Panelists address SEC and FINRA examination priorities as well as current trends and issues related to AML, conflicts of interest, recidivist and high risk brokers, and dual registrants.

Michael Rufino, *Executive Vice President, Head of Member Regulation - Sales Practice, FINRA (Moderator)*

Susan Axelrod, *Executive Vice President, Regulatory Operations, FINRA*

Georgia Bullitt, *Partner, Willkie Farr & Gallagher LLP*

Kristin Snyder, *Associate Regional Director, San Francisco Regional Office, SEC*

Break (2:00 pm – 2:15 pm)

Panel 3: Senior Investors (2:15 pm – 3:15 pm)

Panelists address issues related to senior investors and retirement accounts.

Lori Schock, *Director, Office of Investor Education and Advocacy, SEC (Moderator)*

Susan Axelrod, *Executive Vice President, Regulatory Operations, FINRA*

Susan Hechtlinger, *Senior Vice President and Chief Compliance Officer, SunTrust Investment Services Inc.*

Linde Murphy, *Chief Operating Officer and Chief Compliance Officer, M.E. Allison & Co., Inc.*

Break (3:15 pm – 3:30 pm)



Panel 4: Cybersecurity (3:30 pm – 4:30 pm)

Panelists address current cybersecurity threats impacting broker-dealer firms and the securities markets including mitigation approaches. Panelists also discuss the legal landscape and share effective industry practices.

Shamoil Shipchandler, *Regional Director, Fort Worth Regional Office, SEC (Moderator)*

Richard J. “Jay” Johnson, *Attorney, Jones Day*

David Kelley, *Surveillance Director, FINRA*

Chad M. Pinson, *Managing Director, Stroz Friedberg*

Closing Remarks (4:30 pm – 4:45 pm)

John Polise, *National Associate Director, Broker-Dealer/Exchange Program, National Exam Program, Office of Compliance Inspections and Examinations, SEC*

Michael Rufino, *Executive Vice President, Head of Member Regulation - Sales Practice, FINRA*