New Conference Attendee Orientation and Breakfast
Monday, May 21
8:30 a.m. – 9:30 a.m.

This orientation breakfast is designed specifically to provide new conference attendees 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 new conference attendees and get first-hand answers to last-minute questions. Cannot make this session? Visit an Information Booths located on levels 2, 3 or 4 for a quick tutorial.

Moderator: Susanne Goldsmith
Director
FINRA Member Relations and Education

Panelists: Karrie Foley
Vice President
FINRA Member Relations and Education

Holly Scavetta
Associate Director
FINRA Member Relations and Education
New Conference Attendee Orientation and Breakfast Panelist Bios:

Moderator:

Susanne Goldsmith is Director of Member Relations and Education, FINRA. Member Relations and Education is tasked with maintaining and enhancing open and effective dialog with FINRA member firms, and developing and providing educational resources for firms’ use. Ms. Goldsmith oversees the development of FINRA conferences and other member firm educational offerings. She manages the FINRA Contact System and works with firms and other departments within FINRA to respond to and address overarching firm issues, and identify tools and services that will help firms meet their regulatory compliance obligations. Previously, Ms. Goldsmith was a Business Analyst in FINRA’s Registration and Disclosure department and prior to that, a Supervisor in the Gateway Call Center. She graduated from the University of Maryland, College Park, with a Bachelor of Arts in Psychology and Criminology.

Panelists:

Karrie Foley is Vice President, FINRA, Member Relations and Education. Ms. Foley is responsible for creating and enhancing compliance related tools and resources to help firms comply with FINRA rules. Examples include the Cybersecurity Checklist, the Compliance Vendor Directory, and the Compliance Calendar. In addition, she is the business sponsor for FINRA Firm Gateway which provides consolidated access to regulatory applications and filings; allowing firms to quickly access FINRA systems and tools, gather information, and interact with FINRA. In this role she partners with FINRA technology and business lines, and firms to improve the user experience of Firm Gateway and the systems available in it. On another front, Ms. Foley led the selection and implementation of FINRA’s Events Mobile application and assumed responsibilities supporting the FINRA Industry Education Program. Prior to taking on this role, Ms. Foley lead Product Management for the Registration and Disclosure (RAD) and Testing and Continuing Education (CE) programs. Ms. Foley is a graduate of Virginia Polytechnic and State University where she earned a Bachelor of Science Degree in Business Management.

Holly Scavetta is Associate Director of FINRA Member Relations and Education. Ms. Scavetta, directs, conceptualizes, plans and implements FINRA conferences and educational programs. Prior to joining FINRA, Ms. Scavetta was the Education Manager for Raymond James Financial Services, Inc., in St. Petersburg Florida. In this role, she was responsible for the direction and oversight of the continuing education program, ensuring all new and enhanced training and development programs aligned with organizational priorities and business plans as well as CPA and CFP requirements. Ms. Scavetta previously held the Series 7 License. Ms. Scavetta received her Master of Science degree from NOVA Southeastern University and her B.A. from Florida Southern College.
New Conference Attendee Orientation and Breakfast
Panelists

Moderator

- Susanne Goldsmith, Director, FINRA Member Relations and Education

Panelists

- Karrie Foley, Vice President, FINRA Member Relations and Education
- Holly Scavetta, Associate Director, FINRA Member Relations and Education
To Access Polling

- Under the “Schedule” icon on the home screen,
- Select the day,
- Choose the New Conference Attendee Orientation and Breakfast session,
- Click on the polling icon:
New Conference Attendee Orientation

- Introductions
- Conference Mobile App
- Conference Highlights
- Networking Opportunities
- Wrap-up and Questions
Annual Conference App: Key Features

Schedule Office Hours

View Schedule and Session Details

Plan your day

Connect with attendees
Mobile App: Download

Search for FINRA’s Events app in the Apple or Google App Store
Mobile App: Logging in

Log into the mobile app:
User Name = Your email address
Password = finra1939
Mobile App: Home Page

- Events
- My365
- Settings
- Logout

Events:
- West Region Networking Seminar
  - March 15, 2018
  - Santa Monica, CA
- Midwest Region Member Forum
  - April 26, 2018
  - Chicago
- Annual Conference
  - May 21 - 23, 2018
  - Washington, DC
- Fixed Income Conference
  - September 13, 2018
  - New York
Polling Question 1

1. How many years have you been in the securities industry?
   a. 1
   b. 2-5
   c. 6-10
   d. 11-15
   e. 16+
Polling Question 2

2. How many times have you attended the FINRA Annual Conference?
   a. First time
   b. 2
   c. 3
   d. So many times I have lost count
   e. Oops, I’m at the wrong conference
Polling Question 3

3. What is your main goal for attending the FINRA Annual Conference?
   a. Sharpen and learn new skills
   b. Network with peers
   c. Meet with vendors
   d. Have fun
Polling Question 4

4. Do you know anyone at the conference?
   a. Yes
   b. No
Plan your day: Sessions

- Repeat
- Recorded
- Business model/size specific

Tracks:

AML = Anti-Money Laundering Track  B2BC = Back to Basics Compliance Track  FinTech = FinTech Track  Advertising = Advertising Track
### Plan your day: Office Hours

<table>
<thead>
<tr>
<th>Monday, May 21</th>
<th>Farragut North</th>
<th>Eastern Market</th>
<th>Ledroit Park</th>
<th>Judiciary Square</th>
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</thead>
<tbody>
<tr>
<td>11:15 a.m. – 12:15 p.m.</td>
<td>Member Regulation – Midwest Region FINRA Staff: Scott DeArmedy</td>
<td>Qualification, Examination &amp; Continuing Education FINRA Staff: Joe McDonald and David Scraets</td>
<td>Financial Technology (FinTech) FINRA Staff: Karin Marshall and Tom Mellett</td>
<td>Member Regulation – North Region FINRA Staff: Joe Sherer</td>
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<tr>
<td>1:45 p.m. – 2:45 p.m.</td>
<td>Advertising Regulation FINRA Staff: Pramit Das and Steve O’Mara</td>
<td>Registration and Disclosure (RAD) FINRA Staff: Karin Marshall</td>
<td>Member Regulation – New York Region FINRA Staff: Evelyn Krieger</td>
<td>Senior Help Line FINRA Staff: Yvette Panetta</td>
</tr>
<tr>
<td>3:00 p.m. – 4:00 p.m.</td>
<td>Priorities Letter and Examination Findings Report FINRA Staff: Steve Polansky</td>
<td>Anti-Money Laundering (AML) FINRA Staff: Jason Foye</td>
<td>Member Regulation – West Region FINRA Staff: Tom Mellett</td>
<td>Registration and Disclosure (RAD) FINRA Staff: Karin Marshall</td>
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<tr>
<th>Tuesday, May 22</th>
<th>Farragut North</th>
<th>Eastern Market</th>
<th>Ledroit Park</th>
<th>Judiciary Square</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:00 a.m. – 11:00 a.m.</td>
<td>Priorities Letter and Examination Findings Report FINRA Staff: Steve Polansky</td>
<td>FINRA Membership Application Program (MAP) FINRA Staff: Lisa Robinson and Patricia Dorilio</td>
<td>Financial Responsibility Rules FINRA Staff: Kris Darby</td>
<td>Fixed Income/Municipal Bonds FINRA Staff: Cindy Friedlander</td>
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<tr>
<td>11:15 a.m. – 12:15 p.m.</td>
<td>Advertising Regulation FINRA Staff: Derek Ashworth and Kimberly Flanders</td>
<td>Anti-Money Laundering (AML) FINRA Staff: Blake Snyder</td>
<td>Financial Technology (FinTech) FINRA Staff: Karin Marshall and Tom Mellett</td>
<td>Senior Help Line FINRA Staff: Yvette Panetta</td>
</tr>
<tr>
<td>1:45 p.m. – 2:45 p.m.</td>
<td>Member Regulation – West Region FINRA Staff: Lance Burkett</td>
<td>Member Regulation – Midwest Region FINRA Staff: Ed Wegener</td>
<td>Fixed Income/Municipal Bonds FINRA Staff: Gia Persson</td>
<td>Member Regulation – South Region FINRA Staff: Erin Vocke</td>
</tr>
<tr>
<td>3:00 p.m. – 4:00 p.m.</td>
<td>Advertising Regulation FINRA Staff: Anthony Maher and Derek Ashworth</td>
<td>Financial Responsibility Rules FINRA Staff: Rosemarie Fanelli</td>
<td>Financial Technology (FinTech) FINRA Staff: Maire Workle and Noah Egoin</td>
<td>FINRA Membership Application Program (MAP) FINRA Staff: Lisa Robinson and Patricia Dorilio</td>
</tr>
</tbody>
</table>

- **Meet one-on-one with FINRA staff to discuss firm specific questions.**
- **Sign up through:**
  - Conference app [ ] or [ ]
  - Information Booth on level 3.
Plan your day: Using the app

- How to:
  - Schedule office hours
  - Add sessions to your app calendar
  - View your schedule
Networking and Special Events

Ribbon Key:

<table>
<thead>
<tr>
<th>Retail</th>
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<tr>
<td>Retail—Independent Contractor</td>
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<tr>
<td>Institutional</td>
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<tr>
<td>Insurance Affiliate</td>
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<tr>
<td>Private Placement/M&amp;A</td>
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<tr>
<td>Fixed Income</td>
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<tr>
<td>Clearing</td>
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Tonight
Pre-Museum Reception | Hosted by Platinum Exhibitor - SMARSH on the Mezzanine Level
6:00 p.m. – 7:00 p.m.

Opening Night Reception
7:30 p.m. – 9:30 p.m.

Buses begin loading at 7:00 p.m. for transportation or take a 10 minute walk to the museum.

Smithsonian National Portrait Gallery
Continuing Education Credit

The FINRA Annual Conference is eligible for:

- Continuing Legal Education (CLE)
- Certified Regulatory and Compliance Professional (CRCP)
- Certified Financial Planner (CFP)

Don’t forget to check in and out of every session and, complete and submit your attestation form by Friday, June 8 for CLE/CFP CE credits.
Continuing Education Credit – Test Check In process

Check In for CLE and CFP CE;

- Open the Conference App;
- Tap the Schedule Icon ;
- Select this session;
- Tap the Check In Icon , and enter the 4 digit code:

Check In – 9096

- Tap Submit.
Check In/Out codes for CLE and CFP CE:

- Open the Conference App;
- Tap the Schedule Icon;
- Choose the session;
- Tap the Check In/Out Icon and enter the 4 digit codes:

  **Check In** – 9096
  **Check Out** – 2730

- Tap Submit.
Tools, Tips and Resources: Onsite and Beyond

FINRA Tools, Tips and Resources
Meet with FINRA and MSRB 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.

COMPLIANCE TOOLS

FINRA Small Firm Helpline
(833) 26-FINRA
(833) 263-4672
Help with FINRA resources and systems for broker-dealers

Securities Industry Essentials (SIE) Exam
Questions?

- Visit the Information Booths on levels 2, 3, & 4
- Review onsite program
- In Mobile app, click at the bottom of each page to view Mobile App Tips

We appreciate you taking the time to be here!