2018 FINRA Annual Conference Program

May 21 – 23 | Washington, DC

- Agenda
- Wi-Fi Code
- App Information
- CE Credit Information
- Map
- Tools, Tips and Resources
- Office Hours Information
- Exhibitor List
- And more
THE FINRA ANNUAL CONFERENCE

Over the next three days, you will choose from more than 50 sessions and have countless opportunities to network with peers, interact one-on-one with FINRA representatives, and learn about products and services designed to help you meet compliance requirements. We have prepared this program to help you navigate the 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 Responsibility Rules
- FINRA Membership Application Program (MAP)
- Financial Technology (FinTech)
- Fixed Income/Municipal Bonds
- Member Regulation
- Priorities Letter and the Examination Findings Report
- Qualification, Examination and Continuing Education
- Registration and Disclosure (RAD)
- Senior Investor Issues

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.

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).
5. Click on the “Events” icon and then select “FINRA Annual Conference.”
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 “□” (Android) icon next to the listing to schedule your appointment.

MyConference: Mark sessions, attendees, exhibitors, etc., as favorites by tapping the “○” icon (iPhone) or “□” (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 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.

Continuing Education (CE): CLE, CFP and CRCP® CE credits are available for this conference. For more information, tap on the CE icon.

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

#### Sunday, May 20

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>5:00 p.m.</td>
<td>Registration &amp; Information</td>
<td>Supreme Court Room (Level 4)</td>
</tr>
<tr>
<td></td>
<td><strong>“Kick-Off” Happy Hour With Exhibitors</strong></td>
<td>Liberty &amp; Independence Ballroom Foyers (Level 4)</td>
</tr>
</tbody>
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#### Monday, May 21

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
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<tbody>
<tr>
<td>7:30 a.m.</td>
<td>Registration &amp; Information</td>
<td>Supreme Court Room (Level 4)</td>
</tr>
<tr>
<td>8:00 a.m.</td>
<td>Meet With Exhibitors</td>
<td>Liberty &amp; Independence Ballroom Foyers (Level 4)</td>
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<tr>
<td>8:00 a.m.</td>
<td>General Continental Breakfast</td>
<td>Archives Room (Level 4)</td>
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<td>Seating in Independence Ballroom A-D (Level 4)</td>
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<tr>
<td>8:30 a.m.</td>
<td>New Conference Attendee and Orientation Breakfast</td>
<td>Marquis Ballroom 1-2 (Level 2)</td>
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<tr>
<td>10:00 a.m.</td>
<td>Plenary Session I</td>
<td>Marquis Ballroom 6-10 (Level 2)</td>
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<tr>
<td></td>
<td><strong>Welcome Remarks:</strong> Chip Jones, FINRA Member Relations and Education</td>
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<tr>
<td>10:10 a.m.</td>
<td>Plenary Session II</td>
<td>Marquis Ballroom 6-10 (Level 2)</td>
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<td><strong>Keynote Address:</strong> Robert Cook, FINRA</td>
<td>Marquis Ballroom 6-10 (Level 2)</td>
</tr>
<tr>
<td>11:00 a.m.</td>
<td>Networking &amp; Demos Break</td>
<td>Marquis Ballroom Foyer (Level 2) &amp; Level 3 Foyer</td>
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</table>

### AGENDA KEY

**LIVE BROADCAST ATTENDEES:** 📺 VIDEO

- **AML** = Anti-Money Laundering Track
- **B2BC** = Back to Basics Compliance Track
- **FinTech** = FinTech Track
- **Advertising** = Advertising Track

**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, use the conference app to confirm your attendance during each approved session. In the app, tap the schedule icon, choose the session, and then click the check in/out icon to enter the four digit custom code provided by the moderator and/or in the PowerPoint presentation.

After the conference, don't forget to complete and submit your CE attestation form by **Friday, June 8** for CLE/CFP CE credits.

CRCP® designees may earn CE credit for attending the conference. Visit [www.finra.org/crcp](http://www.finra.org/crcp) for more information and to get credit for attending.
### 11:15 a.m. – 12:15 p.m. | Concurrent Sessions I

- **Alternative Investments and Current Issues**  
  *Independence Ballroom E-H (Level 4)*
- **Working Together to Protect Senior Investors**  
  *Liberty Ballroom M-P (Level 4)*
- **Supervisory Systems—Documenting and Monitoring Client and Advisor Interaction**  
  (repeat session)  
  *Independence Ballroom A-D (Level 4)*
- **Lessons Learned and Developments in AML**  
  (AML Track)  
  *Liberty Ballroom I-L (Level 4)*
- **Advertising Compliance Boot Camp: Fundamentals of FINRA Rule 2210**  
  (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*

### 12:15 p.m. – 1:15 p.m. | LUNCHES

- **CRCP® Lunch**  
  *(pre-registration required)*  
  *Marquis Ballroom 5 (Level 2)*  
  Speaker: James Angel, Georgetown University’s McDonough School of Business
- **Diversity and Inclusion Lunch**  
  *Marquis Ballroom 3-4 (Level 2)*  
  Speaker: Hillary Sale, Washington University in St. Louis and FINRA Public Governor
- **General Lunch**  
  *Marquis Ballroom 6-10 (Level 2)*

### 1:15 p.m. – 1:45 p.m. | NETWORKING BREAK

Dessert With Exhibitors  
*Liberty & Independence Ballroom Foyers (Level 4)*

### 1:45 p.m. – 2:45 p.m. | Concurrent Sessions II

- **Detecting, Preventing and Investigating Fraud and Misappropriation**  
  *Independence Ballroom E-H (Level 4)*
- **Common Examination Findings and Effective Compliance Practices for Institutional Firms**  
  *Liberty Ballroom M-P (Level 4)*
- **Where to Turn When Questions Arise**  
  (Small Firm Focus)  
  *Independence Ballroom A-D (Level 4)*
- **Upcoming Regulatory Changes**  
  *Liberty Ballroom I-L (Level 4)*
- **Information Security 101**  
  (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*

### 2:45 p.m. – 3:00 p.m. | NETWORKING & DEMOS BREAK

**Tools, Tips and Resources**  
*Marquis Ballroom Foyer (Level 2) & Level 3 Foyer*

**Networking With Exhibitors**  
*Liberty & Independence Ballroom Foyers (Level 4)*

### 3:00 p.m. – 4:00 p.m. | Concurrent Sessions III

- **The Three Lines of Defense: Risk Management Supervision, Compliance and Internal Audit**  
  *Independence Ballroom E-H (Level 4)*
- **Understanding FINRA Qualification Examination Program and Continuing Education Changes**  
  *Liberty Ballroom M-P (Level 4)*
- **Communications With the Public: Current Topics**  
  (Advertising Track)  
  *Independence Ballroom A-D (Level 4)*
- **Emerging FinTech Trends**  
  (FinTech Track)  
  *Liberty Ballroom I-L (Level 4)*
- **Supervisory Systems—Documenting and Monitoring Client and Advisor Interaction**  
  (repeat session)  
  *Marquis Ballroom 5 (Level 2)*
- **Mock Examination**  
  (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*
Tuesday, May 22

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

7:00 a.m. – 7:00 p.m. | Meet With Exhibitors
*Liberty & Independence Ballroom Foyers (Level 4)*

7:00 a.m. – 8:00 a.m. | BREAKFAST

General Continental Breakfast
*Buffet in Archives Room (Level 4)*
*Seating in Independence Ballroom A-D (Level 4)*

Breakfast With Member Regulation Senior Staff
*Liberty Ballroom I-L (Level 4)*

8:00 a.m. – 8:30 a.m. | Plenary Session IV

- Keynote Address: Mr. Brett Redfearn, Division of Trading and Markets, SEC
*Marquis Ballroom 6 - 10 (Level 2)*

8:30 a.m. – 9:30 a.m. | Plenary Session V

- Compliance and Legal Trends
*Marquis Ballroom 6-10 (Level 2)*

9:30 a.m. – 10:00 a.m. | NETWORKING & DEMOS BREAK

Tools, Tips and Resources
*Marquis Ballroom Foyer (Level 2) & Level 3 Foyer*

Network With Exhibitors
*Liberty & Independence Ballroom Foyers (Level 4)*

10:00 a.m. – 11:00 a.m. | Concurrent Sessions IV

- Managing Cybersecurity Risk (Medium/Large Firm Focus)
*Independence Ballroom E-H (Level 4)*

- Common Examination Findings and Effective Compliance Practices (Small Firm Focus)
*Liberty Ballroom M-P (Level 4)*

- Recruiting, Hiring and Heightened Supervision Practices
*Independence Ballroom A-D (Level 4)*

- Investment Company Products: Current Issues and Considerations
*Liberty Ballroom I-L (Level 4)*

- Relationship Between Clearing Firms and Correspondents
*Marquis Ballroom 5 (Level 2)*

OPENING-NIGHT RECEPTION

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

- 7:00 p.m. | Buses Begin Loading
  *Marquis Lobby*
  NOTE: For those who want to experience DC, the museum is a 10-minute walk from the conference hotel.

- 7:30 p.m. – 9:30 p.m. | Opening-Night Reception
  *Smithsonian National Portrait Gallery*
  8th St. NW & F St. NW
  Washington, DC 20001

Smithsonian National Portrait Gallery
### 10:00 a.m. – 11:00 a.m. | Concurrent Sessions IV (cont)

- Effective Practices in Fraud Detection (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*
- Emerging FinTech Trends (FinTech Track)  
  *(repeat session)*  
  *Marquis Ballroom 3-4 (Level 2)*

### 11:00 a.m. – 11:15 a.m. | NETWORKING & DEMOS BREAK

**Tools, Tips and Resources**  
*Marquis Ballroom Foyer (Level 2) & Level 3 Foyer*  

**Networking With Exhibitors**  
*Liberty & Independence Ballroom Foyers (Level 4)*

### 11:15 a.m. – 12:15 p.m. | Concurrent Sessions V

- Common Examination Findings and Effective Compliance Practices (Medium/Large Firm Focus)  
  *Independence Ballroom E-H (Level 4)*
- Financial and Operational Effective Practices (Small Firm Focus)  
  *Liberty Ballroom M-P (Level 4)*
- Fixed Income Sales and Trading: Current Issues  
  *Independence Ballroom A-D (Level 4)*
- Registration and Licensing Transformation With CRD®  
  *Liberty Ballroom I-L (Level 4)*
- Suitability: What You Need to Know (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*
- Common Findings Related to Books and Records  
  *Marquis Ballroom 3-4 (Level 2)*

### 12:15 p.m. – 1:15 p.m. | LUNCHES

**General Lunch**  
*Marquis Ballroom 6-10 (Level 2)*

**Small Firm Advisory Committee Lunch**  
*Marquis Ballroom 5 (Level 2)*

### 1:15 p.m. – 1:45 p.m. | NETWORKING BREAK

**Dessert With Exhibitors**  
*Liberty & Independence Ballroom Foyers (Level 4)*

### 1:45 p.m. – 2:45 p.m. | Concurrent Sessions VI

- Enforcement Initiatives, Developments and Priorities  
  *Independence Ballroom E-H (Level 4)*
- Implementing a Risk-Based Program and Identifying Red Flags  
  *Liberty Ballroom M-P (Level 4)*
- MiFID Research Rule Developments and Related Issues  
  *Independence Ballroom A-D (Level 4)*
- Financial and Operational Effective Practices (Medium/Large Firm Focus)  
  *Liberty Ballroom I-L (Level 4)*
- Advertising Workshop (Advertising Track)  
  *Marquis Ballroom 1-2 (Level 2)*
- Big Data Analytics and Artificial Intelligence (FinTech Track)  
  *Marquis Ballroom 3-4 (Level 2)*

### 2:45 p.m. – 3:00 p.m. | NETWORKING & DEMOS BREAK

**Tools, Tips and Resources**  
*Marquis Ballroom Foyer (Level 2) & Level 3 Foyer*  

**Networking With Exhibitors**  
*Liberty & Independence Ballroom Foyers (Level 4)*

### 3:00 p.m. – 4:00 p.m. | Concurrent Sessions VII

- Suitability, Supervision and Surveillance  
  *Independence Ballroom E-H (Level 4)*
- Effective Processes for Suspicious Activity Monitoring and Investigations (AML Track)  
  *Liberty Ballroom M-P (Level 4)*
- Social Media and Digital Communications  
  *Independence Ballroom A-D (Level 4)*
- Cybersecurity Guidance: How Small Firms Can Better Protect Their Business (Small Firm Focus)  
  *Liberty Ballroom I-L (Level 4)*
- Creating an Effective Records Management and Retention Program (B2BC Track)  
  *Marquis Ballroom 1-2 (Level 2)*
- Municipal Securities: Origination, Sales and Trading  
  *Marquis Ballroom 3-4 (Level 2)*
## Wednesday, May 23

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
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<tbody>
<tr>
<td>7:30 a.m. – 11:00 a.m.</td>
<td><strong>Registration &amp; Information</strong></td>
<td>Supreme Court Room (Level 4)</td>
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<tr>
<td>7:30 a.m. – 11:00 a.m.</td>
<td><strong>Meet With Exhibitors</strong></td>
<td>Liberty &amp; Independence Ballroom Foyers (Level 4)</td>
</tr>
<tr>
<td>7:30 a.m. – 8:30 a.m.</td>
<td><strong>General Continental Breakfast</strong></td>
<td>Buffet in Archives Room (Level 4)</td>
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<td><strong>Seating in Independence Ballroom A-D (Level 4)</strong></td>
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<tr>
<td>8:30 a.m. – 9:30 a.m.</td>
<td><strong>Concurrent Sessions VIII</strong></td>
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<td></td>
<td><strong>Outside Business Activities and Private Securities Transactions</strong></td>
<td>Independence Ballroom E-H (Level 4)</td>
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<td></td>
<td><strong>Market Regulation Priorities: Detecting and Preventing Misconduct</strong></td>
<td>Liberty Ballroom M-P (Level 4)</td>
</tr>
<tr>
<td>10:45 a.m. – 11:00 a.m.</td>
<td><strong>NETWORKING &amp; DEMOS BREAK</strong></td>
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</tr>
<tr>
<td>11:00 a.m. – 12:00 p.m.</td>
<td><strong>Plenary Session VII</strong></td>
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<tr>
<td></td>
<td><strong>Ask Senior FINRA Staff</strong></td>
<td>Marquis Ballroom 6-10 (Level 2)</td>
</tr>
<tr>
<td>12:00 p.m.</td>
<td><strong>CONFERENCE ADJOURNS</strong></td>
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</table>

### 4:00 p.m. – 4:15 p.m. | NETWORKING & DEMOS BREAK

**Tools, Tips and Resources**
- *Marquis Ballroom Foyer (Level 2) & Level 3 Foyer*

**Networking With Exhibitors**
- *Liberty & Independence Ballroom Foyers (Level 4)*

### 4:15 p.m. – 5:15 p.m. | Plenary Session VI

- **Keynote Address: Fireside Chat with Robert Cook and The Honorable Jay Clayton, Chairman, SEC**
  - *Marquis Ballroom 6-10 (Level 2)*

### NETWORKING RECEPTION

- **5:15 p.m. – 7:00 p.m.**
  - *Liberty & Independence Ballroom Foyers (Level 4)*

### 8:30 a.m. – 9:30 a.m. | Concurrent Sessions VIII (cont)

- **Mock Examination (B2BC Track) (repeat session)**
  - *Marquis Ballroom 1-2 (Level 2)*

- **Initial Coin Offerings (ICOs) and Cryptocurrency (FinTech Track)**
  - *Marquis Ballroom 3-4 (Level 2)*

### 9:30 a.m. – 9:45 a.m. | NETWORKING & DEMOS BREAK

**Networking With Exhibitors**
- *Liberty & Independence Ballroom Foyers (Level 4)*

### 9:45 a.m. – 10:45 a.m. | Concurrent Sessions IX

- **How to Leverage Millennials, Gen Z and the Largest Transfer of Wealth in History**
  - *Independence Ballroom E-H (Level 4)*

- **Membership Application Program (MAP)**
  - *Liberty Ballroom M-P (Level 4)*

- **What You Need to Know About Capital Formation**
  - *Liberty Ballroom I-L (Level 4)*

- **Arbitration Procedures and Practical Tips**
  - *Marquis Ballroom 5 (Level 2)*

- **Liquidity and Market Risk (Medium/Large Firm Focus)**
  - *Marquis Ballroom 1-2 (Level 2)*

- **AML Challenges**
  - *Marquis Ballroom 3-4 (Level 2)*

### 10:45 a.m. – 11:00 a.m. | NETWORKING & DEMOS BREAK

**Networking With Exhibitors**
- *Liberty & Independence Ballroom Foyers (Level 4)*

### 11:00 a.m. – 12:00 p.m. | Plenary Session VII

- **Ask Senior FINRA Staff**
  - *Marquis Ballroom 6-10 (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.

Monday
8:00 a.m. – 5:00 p.m.

Tuesday
7:00 a.m. – 5:00 p.m.

Wednesday
7:30 a.m. – 11:00 a.m.
FINRA and MSRB staff will be demonstrating various 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>Tools, Tips And Resources</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cybersecurity Effective Practices</td>
<td>2</td>
</tr>
<tr>
<td>FINRA.org Redesign</td>
<td>3</td>
</tr>
<tr>
<td>FINRA's Request Manager and Data Intake Systems</td>
<td>2</td>
</tr>
<tr>
<td>Firm Compliance Resources</td>
<td>2</td>
</tr>
<tr>
<td>Fixed Income, Fund Analyzer, TRAQS &amp; Report Center</td>
<td>2</td>
</tr>
<tr>
<td>Meet MSRB EMMA®</td>
<td>3</td>
</tr>
<tr>
<td>Office of the Ombudsman</td>
<td>3</td>
</tr>
<tr>
<td>Securities Industry Essentials (SIE) Exam</td>
<td>2</td>
</tr>
<tr>
<td>The New CRD® and the Financial Professional (FinPro) Gateway</td>
<td>2</td>
</tr>
</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**

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.

- **Breakfast With Member Regulation Senior Staff**
  Tuesday, May 22 | 7:00 a.m. – 8:00 a.m.

- **Certified Regulatory and Compliance Professional (CRCP)® Lunch**
  Monday, May 21 | 12:15 p.m. – 1:15 p.m.
  (pre-registration required)

- **Dessert With Exhibitors**
  Monday, May 21 | 1:15 p.m. – 1:45 p.m.
  Tuesday, May 22 | 1:15 p.m. – 1:45 p.m.

- **Diversity and Inclusion Lunch**
  Monday, May 21 | 12:15 p.m. – 1:15 p.m.

- **Networking Reception | Hosted by Platinum Exhibitor Smarsh**
  Monday, May 21 | 6:00 p.m. – 7:00 p.m.

- **Networking Reception**
  Tuesday, May 22 | 5:15 p.m. – 7:00 p.m.

- **Opening-Night Reception at the Smithsonian National Portrait Gallery**
  Monday, May 21 | 7:30 p.m. – 9:30 p.m.

- **Small Firm Advisory Committee (SFAC) Lunch**
  Tuesday, May 22 | 12:15 p.m. – 1:15 p.m.
FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions. Attendees can make an appointment via the conference app or onsite at the Information Desk on level 3.

<table>
<thead>
<tr>
<th>Monday, May 21</th>
<th>FARRAGUT NORTH</th>
<th>EASTERN MARKET</th>
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<tbody>
<tr>
<td>11:15 a.m. to 12:15 p.m.</td>
<td>Member Regulation – Midwest Region</td>
<td>Qualification, Examination &amp; Continuing Education</td>
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<tr>
<td>FINRA Staff:</td>
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<tr>
<td>• Scott DeArney</td>
<td>• Joe McDonald</td>
<td>• David Scrams</td>
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<tr>
<td>1:45 p.m. to 2:45 p.m.</td>
<td>Advertising Regulation</td>
<td>Registration and Disclosure (RAD)</td>
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<td>FINRA Staff:</td>
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<tr>
<td>• Pramit Das</td>
<td>• Karin Marshall</td>
<td>• Jason Foye</td>
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<td>• Steve O’Mara</td>
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<tr>
<td>3:00 p.m. to 4:00 p.m.</td>
<td>Priorities Letter and Examination Findings Report</td>
<td>Anti-Money Laundering (AML)</td>
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<td>• Steve Polansky</td>
<td>• Jason Foye</td>
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<td>• Lisa Robinson</td>
<td>• Patricia Dorilio</td>
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<tr>
<td>• Derek Ashworth</td>
<td>• Blake Snyder</td>
<td>• Kris Dailey</td>
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<td>• Kimberly Flanders</td>
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<tr>
<td>1:45 p.m. to 2:45 p.m.</td>
<td>Member Regulation – West Region</td>
<td>Member Regulation – Midwest Region</td>
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<td>FINRA Staff:</td>
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<tr>
<td>• Lance Burkett</td>
<td>• Ed Wegener</td>
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<td>3:00 p.m. to 4:00 p.m.</td>
<td>Advertising Regulation</td>
<td>Financial Responsibility Rules</td>
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<td>FINRA Staff:</td>
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<td>• Anthony Maher</td>
<td>• Rosemarie Fanelli</td>
<td>• Haime Workie</td>
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<td>• Derek Ashworth</td>
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<td>• Noah Egorin</td>
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<th>LEDROIT PARK</th>
<th>JUDICIARY SQUARE</th>
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| • Tom Mellett | |

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<thead>
<tr>
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<tr>
<td>NCS Regulatory Compliance</td>
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<td>NICE Actimize</td>
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<td>Red Oak Compliance Solutions</td>
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<td>Wolters Kluwer</td>
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EXHIBITOR LEVELS

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