Plenary Session II: Fireside Chat: How to Prepare for a FINRA Examination  
Thursday, September 13  
11:15 a.m. – 11:45 a.m.

Panelists discuss how to prepare for an examination and share helpful tips to make an examination run smoothly.

**Moderator:** Cynthia Friedlander  
Senior Director, Reg Ops Shared Services  
FINRA Fixed Income Regulation, Member Supervision

**Panelists:**  
Gene Davis  
Examination Manager, Sales Practice  
FINRA New Orleans District Office

John Edmonds  
Examination Manager, Sales Practice  
FINRA New York District Office
Plenary Session II: Fireside Chat: How to Prepare for a FINRA Examination Panelist Bios:

Moderator:

Cynthia Friedlander is Senior Director, Fixed Income Regulation within FINRA Member Supervision. Ms. Friedlander is responsible for directing FINRA’s policies and national programs related to fixed income securities, including related regulatory matters in FINRA District Offices. Specifically, she is responsible for the design, development and delivery of fixed income-related guidance to staff throughout FINRA, as well as to member firms, and is one of FINRA’s primary representatives in fixed income regulatory matters with the Municipal Securities Rulemaking Board (MSRB) and the Securities and Exchange Commission (SEC). Ms. Friedlander represents FINRA at government agency, SRO, and industry and advisory meetings and is a staff liaison to FINRA’s Fixed Income Committee. She holds a B.A. in government from the University of Virginia and an M.B.A. with a concentration in finance from George Mason University.

Panelists:

Gene C. Davis is the examination manager of the South Region Fixed Income Team, which conducts examinations of firms engaged in a material fixed income business. Mr. Davis has been employed with FINRA (formerly NASD) since February 1997. Mr. Davis has directed numerous examinations of member firms engaged in a myriad of fixed income business lines and has directed numerous focused examinations with regard to fixed income related issues. Mr. Davis has completed the FINRA Institute at Wharton Certificate Program, obtaining the Certified Regulatory and Compliance Professional™ (CRCP™) designation in 2004.

John Edmonds is currently Examination Manager for the FINRA New York Municipal Examination Team. The team was created in 2013 to conduct Municipal examinations of Firms in New York City that engage in Primary Municipal Market activities, and/or Firms that conduct significant Secondary Market trading of Municipal Securities. Mr. Edmonds began his career with NASD, (now FINRA) as an Examiner in 1997. He has been Examination Manager in the New York District Office since 2000.
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Panelists

Moderator

- Cynthia Friedlander, Senior Director, Reg Ops Shared Services, FINRA Fixed Income Regulation, Member Supervision

Panelists

- Gene Davis, Examination Manager, Sales Practice, FINRA New Orleans District Office
- John Edmonds, Examination Manager, Sales Practice, FINRA New York District Office
Question and Answer
Thanks for listening!