



2018 FINRA

Disclosure Reporting, Monitoring and Registration Conference

October 9 | New York, NY

Bringing together compliance, supervision and registration staff of broker-dealers and third-party vendors to discuss regulatory reporting requirements and industry practices.



Register at www.finra.org/radconference2018

Stay updated and share your comments using #FinraRAD

Agenda | Tuesday, October 9

8:00 a.m. – 4:30 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:15 a.m.	Welcome Remarks Chip Jones, FINRA Member Relations and Education
9:15 a.m. – 10:15 a.m.	Session I: Regulatory Reporting Requirements
	<p>▶ This session focuses on regulatory requirements and firm practices related to reporting and disclosure. FINRA panelists highlight key reporting requirements, including requirements for maintaining Forms U4 and U5, and customer complaint reporting obligations.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Mario DiTrapani, FINRA CRD/Public Disclosure <p>Panelists:</p> <ul style="list-style-type: none"> • Sean Driscoll, Credit Suisse • Wendy Lanton, Lantern Investments, Inc. • Ronald (Ron) Peterson, FINRA Regulatory Review and Disclosure
10:15 a.m. – 10:30 a.m.	Networking Break and Demos
10:30 a.m. – 11:30 a.m.	Session II: New CRD[®] — Transforming the Registration and Licensing Experience
	<p>▶ FINRA has begun a multi-year initiative to transform the CRD system. During this session, FINRA business and technology staff cover the upcoming changes, significant feature releases, how your firm can participate during product development, and answer your questions about the future of this important system.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • William (Bill) Swanstrom, FINRA Registration and Disclosure’s Business Development and Innovation <p>Panelists:</p> <ul style="list-style-type: none"> • Noah Egorin, FINRA Registration and Disclosure’s Business Development and Innovation • Deepa Parasuram, FINRA Registration and Disclosure Technology
11:30 a.m. – 12:30 p.m.	Networking Lunch
12:30 p.m. – 1:00 p.m.	Dessert With Exhibitors
1:00 p.m. – 2:00 p.m.	Session III: Qualification Examination Program Restructure and Regulatory Continuing Education (CE) Program Changes
	<p>▶ This session provides guidance on FINRA’s exam restructuring initiative. Panelists discuss the consolidated rules, the restructuring of the representative-level qualification examination program and change in the CE requirements for permissively registered individuals. Additionally, panelists discuss recently proposed changes to the vision of the CE Regulatory Element published by the CE Council, and offer practical answers to questions about these program changes.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • John Kalohn, FINRA Testing and Continuing Education <p>Panelists:</p> <ul style="list-style-type: none"> • Joseph (Joe) McDonald, FINRA Testing and Continuing Education • Alexandra (Lex) Toton, FINRA Testing and Continuing Education
2:00 p.m. – 2:15 p.m.	Networking Break and Demos

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.

For more information and to register, please visit www.finra.org/radconference2018

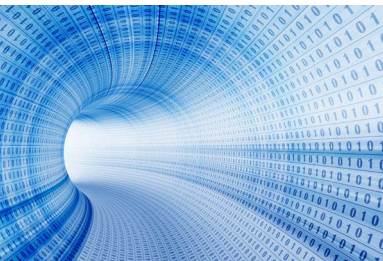
Agenda | Tuesday, October 9 | continued

2:15 p.m. – 3:15 p.m.	Session IV: FINRA’s Membership Application Program (MAP)
	<p>▶ Attend this session to hear about FINRA’s Membership Application Program (MAP). Learn how FINRA evaluates proposed business activities of potential and existing member firms, including the applicants’ financial, operational, supervisory and compliance systems. This session provides an overview of the application process, including MAP’s fast track/ expedited review process. Panelists also discuss changes to the Membership Rules, including <i>Regulatory Notice 18-06</i>.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Alissa (Lisa) Robinson, FINRA Membership Application Program <p>Panelists:</p> <ul style="list-style-type: none"> • Patricia (Pat) Dorilio, FINRA Membership Application Program • Linde Murphy, M.E. Allison & Co., Inc.
3:15 p.m. – 3:30 p.m.	Networking Break and Demos
3:30 p.m. – 4:30 p.m.	Session V: Identifying and Assessing High-Risk Activity
	<p>▶ Join FINRA staff as they share helpful insight on identifying and assessing activity of registered representatives as high risk and how that intelligence can be more broadly used to assess risk across and within branch offices.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Thomas (Tom) Drogan, FINRA Member Regulation, Office of Sales Practice <p>Panelists:</p> <ul style="list-style-type: none"> • Patricia Hatzfeld, FINRA Member Regulation, Office of Sales Practice • John Salerno, FINRA High Risk Registered Rep Program
4:30 p.m.	Conference Adjourns

Speakers | as of October 4, 2018

Mario DiTrapani	FINRA CRD/Public Disclosure
Patricia (Pat) Dorilio	FINRA Membership Application Program
Sean Driscoll	Credit Suisse
Thomas (Tom) Drogan	FINRA Member Regulation, Office of Sales Practice
Noah Egorin	FINRA Registration and Disclosure’s Business Development and Innovation
Karrie Foley	FINRA Member Relations and Education
Patricia Hatzfeld	FINRA Office of Sales Practice
Chip Jones	FINRA Member Relations and Education
John Kalohn	FINRA Testing and Continuing Education
Wendy Lanton	Lantern Investments, Inc.
Mathieu (Matt) Lefevre	FINRA Member Relations and Education
Karin Marshall	FINRA Registration and Disclosure’s Regulatory Review and Disclosure
Joseph (Joe) McDonald	FINRA Testing and Continuing Education
Linde Murphy	M.E. Allison & Co., Inc.
Deepa Parasuram	FINRA Registration and Disclosure Technology
Ronald (Ron) Peterson	FINRA Regulatory Review and Disclosure
Anita Ready	FINRA Technology
Alissa (Lisa) Robinson	FINRA Membership Application Program
John Salerno	FINRA High Risk Registered Rep Program
William (Bill) Swanstrom	FINRA Registration and Disclosure’s Business Development and Innovation
Alexandra (Lex) Toton	FINRA Testing and Continuing Education

Demo Sessions | Tuesday, October 9



▶ Disclosure-Related Questions

FINRA staff will be available to answer disclosure-related questions.

▶ Firm Compliance Resources

Are you looking for helpful compliance resources? FINRA staff will be available to demonstrate firm resources, including the enhanced versions of the Compliance Calendar, the Compliance Vendor Directory (CVD), the Firm Gateway, the Weekly Email Archive, the Peer-to-Peer (P2P) Compliance Library, and other tools and templates available to assist member firms' compliance with FINRA rules and regulations.

▶ Report Center: Reports, API service and ADDS

FINRA staff will be available to discuss FINRA's Report Center resources, new content released, the new API service, the ADDS merger and the system relaunch happening in 2018.

▶ The New CRD® and Financial Professional (FinPro) Gateway

The new CRD will deliver an easy-to-use, efficient, flexible, collaborative and integrated licensing management system for members and their associated persons; and FinPro will eliminate manual processes taking up valuable resources today. See what is envisioned, how these systems will be responsive to different firm sizes and models, when you should expect to see changes, and how to get involved in the new user experience.

Exhibitors

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

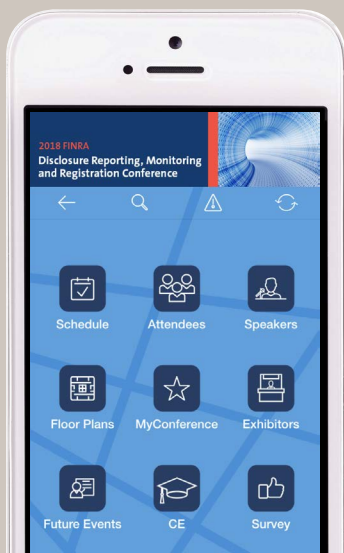
Current exhibitors include:

- ▶ Global Relay Communications, Inc
- ▶ Training Consultants, LLC.
- ▶ RegEd, Inc.
- ▶ Vertafore
- ▶ Solomon Exam Prep

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 to request a conference exhibitor package.

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)®, Continuing Legal Education (CLE) and Certified Financial Planner (CFP) CE credits.



FINRA Disclosure Reporting, Monitoring and Registration Conference App

Our conference app is created specifically for the Disclosure Reporting, Monitoring and Registration 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/radconference2018

Registration | Hotel and Travel Information



How to Register

To register, visit www.finra.org/radconference2018 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. **Live broadcast will not be available for this event.**

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 \$150 processing fee—will be granted to written requests received 14 days or more prior to the start date of the conference. We regret that refunds will not be granted after **September 25, 2018**.

REGISTER NOW @

Registration Rates

IN-PERSON — INDIVIDUAL	First 50 Through July 27, 2018	50+ or After July 27, 2018
FINRA Member Firm must provide valid CRD #	\$795	\$945
FINRA Member Firm — Small Firm must provide valid CRD #	\$395	\$495
Non-Member	\$1,175	\$1,325
Government/Regulator	\$560	\$670

IN PERSON GROUP* (Per Person)	First 50 Through July 27, 2018	50+ or After July 27, 2018
FINRA Member Firm must provide valid CRD #	\$670	\$800
FINRA Member Firm — Small Firm must provide valid CRD #	\$270	\$370
Non-Member	\$1,000	\$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

Hotel Reservations

A room block is available at the Crowne Plaza Times Square Manhattan hotel at a special rate starting at \$249 per night, plus tax. This rate is available until September 18, 2018 or until the room block is sold out. Hotel reservations will then be accepted on a space and rate-available basis. Reserve your room online, or please call (888) 233-9527 and identify yourself as a FINRA Disclosure Reporting, Monitoring and Registration Conference attendee.

The 2018 Disclosure Reporting, Monitoring and Registration Conference takes place at:
Crowne Plaza Times Square Manhattan | 1605 Broadway (between 48th and 49th Street)
New York, NY 10019

For more information and to register, please visit www.finra.org/radconference2018