



National Compliance Outreach Program
for Broker-Dealers

Federal Reserve Bank of Chicago
June 27, 2019

Agenda

Registration & Continental Breakfast (8:15 am – 9:00 am)

Welcome and Opening Remarks (9:00 am – 9:05 am)

Peter Driscoll, *Director, Office of Compliance Inspections and Examinations, SEC*

A Conversation with Commissioner Peirce (9:05 am – 9:45 am)

Commissioner Hester M. Peirce discusses the current regulatory environment and issues facing broker-dealers, including time for questions and answers.

The Honorable Hester M. Peirce, *Commissioner, SEC*

Joel R. Levin, *Regional Director, Chicago Regional Office, SEC*

Panel 1: Insights from SEC and FINRA Leadership (9:45 am – 11:00 am)

Senior leaders discuss SEC and FINRA examination priorities and address current market and regulatory risks impacting broker-dealers.

Peter Driscoll, *Director, Office of Compliance Inspections and Examinations, SEC (Moderator)*

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

Ed Wegener, *Senior Vice President and Midwest Regional Director, FINRA*

Refreshments Break (11:00 am – 11:15 am)

Panel 2: Protecting the Retail Investor (11:15 am – 12:15 pm)

Panelists discuss issues related to the retail investor, including sales practices in the fixed income market, suitability of complex financial products, and issues related to senior investors and retirement accounts.

Daniel R. Gregus, *Associate Director, Clearance and Settlement Program and Broker-Dealer and Exchange Program, Chicago Regional Office, SEC (Moderator)*

Laura Trotz, *District Director, Chicago District Office, FINRA*

Ahmed Abonamah, *Deputy Director, Office of Municipal Securities, SEC*

Kelly Shoop, *Special Counsel, Sales Practices, Division of Trading and Markets, SEC*

Jeffrey F. Freiburger, *Managing Director and Chief Compliance Officer, Robert W. Baird & Co.*

Lunch – On Your Own (12:15 pm – 1:30 pm)



Panel 3: Compliance Hot Topics: Digital Assets and Cybersecurity (1:30 pm – 2:45 pm)

Panelists address current trends and issues in the industry related to timely topics such as digital assets and cybersecurity.

Thomas Nelli, Senior Vice President and Regional Director, Sales Practice, FINRA (Moderator)

Valerie Szczepanik, Associate Director, Division of Corporation Finance, SEC

Amy Davine Kim, Chief Policy Officer, Chamber of Digital Commerce

Shamoil T. Shipchandler, Partner, Jones Day

*Andy Zolper, Chief Information Security Officer and Head of Technology Infrastructure,
Raymond James Financial*

Closing Remarks (2:45 pm – 3:00 pm)

Ed Wegener, Senior Vice President and Midwest Regional Director, FINRA