



2019 Get SET State Examiner Training

September 26 | Los Angeles, CA

FINRA, the California Department of Business Oversight and NASAA are bringing state securities regulators together for a joint conference dedicated to training examiners on conducting broker-dealer exams. This collaborative, one-day event focuses on strategies and solutions to help examiners strengthen their skills.



Agenda | Thursday, September 26

7:00 a.m. – 4:30 p.m.	Registration
7:00 a.m. – 8:00 a.m.	Networking Breakfast
8:00 a.m. – 8:05 a.m.	Welcome Remarks: <ul style="list-style-type: none"> • Sarah Gill, FINRA Office of Government Affairs • Balbiro (Bal) Kazla, California Department of Business Oversight – Sacramento Office
8:05 a.m. – 8:20 a.m.	Keynote Address: <ul style="list-style-type: none"> • Edgar L. Gill, Senior Deputy Commissioner, California Department of Business – Sacramento Office
8:20 a.m. – 8:30 a.m.	Training Introduction and Hypothetical: <ul style="list-style-type: none"> • Christopher (Chris) Gerold, North American Securities Administrators Association (NASAA) President-elect and Bureau Chief of the New Jersey Bureau of Securities
8:30 a.m. – 9:30 a.m.	Discovery: Understanding the Firm and Where the Risk Lies
	<ul style="list-style-type: none"> ▶ During this session, attendees discuss discovery techniques to aid in a more efficient and effective risk-based examination. <p>Panelists:</p> <ul style="list-style-type: none"> • Clinton (Clint) Edgar, Texas State Securities Board • Lusana Gee, FINRA Los Angeles District Office • Isabel Patel, FINRA San Francisco District Office
9:30 a.m. – 9:50 a.m.	Understanding Broker-Dealer Fees
	<ul style="list-style-type: none"> ▶ During this session, attendees review types of broker-dealers, their fee structures, and how to assess if broker-dealer fees are reasonable. <p>Panelists:</p> <ul style="list-style-type: none"> • Cheryl Bryan, California Department of Business Oversight – Los Angeles Office • Clinton (Clint) Edgar, Texas State Securities Board • Lusana Gee, FINRA Los Angeles District Office
9:50 a.m. – 10:00 a.m.	Networking Break
10:00 a.m. – 11:00 a.m.	Analyzing Trade Blotters
	<ul style="list-style-type: none"> ▶ During this hands-on session, attendees review trade blotters and discuss red flags, and how to mitigate risks derived from trading activities. <p>Panelists:</p> <ul style="list-style-type: none"> • Clinton (Clint) Edgar, Texas State Securities Board • Robert Lettice, FINRA Los Angeles District Office • Ramon Villalobos, California Department of Business Oversight – Sacramento Office
11:00 a.m. – 11:10 a.m.	Networking Break
11:10 a.m. – 12:10 p.m.	Interpreting Exception Reports
	<ul style="list-style-type: none"> ▶ Panelists discuss the various types of exception reports, how to interpret information from these reports, and ways to identify and address red flags. <p>Panelists:</p> <ul style="list-style-type: none"> • Jennifer Guadarrama, FINRA Los Angeles District Office • John Pascal, California Department of Business Oversight – San Francisco Office • Ian Weschler, South Carolina Attorney General’s Office
12:10 p.m. – 1:10 p.m.	Networking Lunch

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1:10 p.m. – 1:20 p.m.	<p>Keynote Address</p> <p>Introduction:</p> <ul style="list-style-type: none"> • Donald (Don) Lopez, FINRA West Region <p>Speaker:</p> <ul style="list-style-type: none"> • Commissioner Manuel P. (Manny) Alvarez, California Department of Business Oversight
1:20 p.m. – 2:10 p.m.	<p>Evaluating Supervision</p> <p>► This session provides what you need to know when reviewing Written Supervisory Procedures (WSPs). WSPs are a “living document” and should provide a road map for supervisory personnel to follow when they conduct reviews. Join panelists as they answer questions and provide practical tips for reviewing supervisory systems.</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Thomas (Tom) Chan, California Department of Business Oversight – Los Angeles Office • Megan Cotter, FINRA Los Angeles District Office • Ian Weschler, South Carolina Attorney General’s Office
2:10 p.m. – 2:20 p.m.	Networking Break
2:20 p.m. – 3:20 p.m.	<p>Determining Suitability</p> <p>► This hands-on session provides a review of important suitability obligations. Join panelists as they share relevant information on key components of the suitability rule and provide insight on effective practices.</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Eric Chandra, California Department of Business Oversight – Sacramento Office • Darlene Lewis, FINRA Los Angeles District Office • A. Valerie Mirko, North American Securities Administrators (NASSA)
3:20 p.m. – 3:30 p.m.	Networking Break
3:30 p.m. – 4:20 p.m.	<p>Identifying and Understanding Compliance Risks at Broker-Dealer Branch Offices</p> <p>► This session features a discussion around identifying and understanding the different types of risks associated with branch offices and branch representatives. Join panelists as they discuss effective practices and helpful procedures used to identify misconduct and risks.</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Jason Freeman, FINRA Los Angeles District Office • Thomas (Tom) Mellett, FINRA San Francisco District Office • Brett O’Sullivan, California Department of Business Oversight – Sacramento Office
4:20 p.m. – 4:30 p.m.	<p>Conclusion of Hypothetical and Closing Remarks:</p> <ul style="list-style-type: none"> • Christopher (Chris) Gerold, NASAA President-elect and Bureau Chief of the New Jersey Bureau of Securities
4:30 p.m. – 5:30 p.m.	Networking Reception

Registration | Travel and Hotel Information

How to Register

REGISTER NOW @

To register, visit www.finra.org/getset19 and complete the online registration. Event registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please send an email to conreg@finra.org.

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 event.

Fees

There is no cost to attend this event.

Contact Information

Please direct questions about registration to conreg@finra.org.

Hotel Information

The 2019 Get SET – State Examiner Training takes place at:

Omni Los Angeles Hotel at California Plaza
251 South Olive Street
Los Angeles, CA 90012

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the event, especially prior to receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the event reach the registration limit or in the unlikely event that changes to the training dates and/or location become necessary.

Speaker List

Manuel (Manny) Alvarez	California Department of Business Oversight
Cheryl Bryan	California Department of Business Oversight - Los Angeles Office
Thomas (Tom) Chan	California Department of Business Oversight - Los Angeles Office
Eric Chandra	California Department of Business Oversight - Sacramento Office
Megan Cotter	FINRA Los Angeles District Office
Clinton (Clint) Edgar	Texas State Securities Board
Jason Freeman	FINRA Los Angeles District Office
Lusana Gee	FINRA Los Angeles District Office
Christopher (Chris) Gerold	North American Securities Administrators Association (NASAA) and New Jersey Bureau of Securities
Edgar (Ed) L. Gill	California Department of Business Oversight - Sacramento Office
Sarah Gill	FINRA Office of Government Affairs
Jennifer Guadarrama	FINRA Los Angeles District Office
Balbiro (Bal) Kazla	California Department of Business Oversight - Sacramento Office
Robert Lettice	FINRA Los Angeles District Office
Darlene Lewis	FINRA Los Angeles District Office
Donald (Don) Lopezi	FINRA West Region
Thomas (Tom) Mellett	FINRA San Francisco District Office
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John Pascal	California Department of Business Oversight - San Francisco Office
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Ian Weschler	South Carolina Attorney General's Office