



2019 FINRA

# District Compliance Seminar

With the State of Pennsylvania

**October 16, 2019 | Camp Hill, PA**

FINRA's District Compliance Seminar with the State of Pennsylvania offers a comprehensive agenda designed for new and experienced compliance and legal professionals. Industry and regulatory speakers facilitate an interactive discussion on regulatory rules and effective practices. This half-day event also includes opportunities to network with industry peers and FINRA District Office staff.

**FINRA**<sup>®</sup>

Register at [www.finra.org/districtseminarpa](http://www.finra.org/districtseminarpa)

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# Agenda | Wednesday, October 16

Wednesday, October 16	
12:00 p.m. – 5:00 p.m.	<b>Registration</b>
1:00 p.m. – 1:05 p.m.	<b>Welcome and Opening Remarks</b> Speaker   <b>Bill Bell</b> , FINRA Philadelphia District Office
1:05 p.m. – 2:00 p.m.	
<b>1:05 p.m. – 2:00 p.m.</b>	<b>Common Examination Findings and Effective Practices</b>
	<p>▶ Join panelists as they discuss the most common deficiencies noted during cycle examinations. Industry practitioners discuss effective practices for preparing for examinations, taking corrective action, and updating compliance procedures and practices based on examination results.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Kayte Toczylowski</b>, FINRA Philadelphia District Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Stephen Marchese</b>, FINRA Philadelphia District Office</li> <li>• <b>Amber Nicklow</b>, Pennsylvania Department of Banking and Securities</li> <li>• <b>Victor Sosa</b>, FINRA Philadelphia District Office</li> </ul>
2:00 p.m. – 2:10 p.m.	Networking Break
<b>2:10 p.m. – 3:00 p.m.</b>	<b>Protecting Senior Investors</b>
	<p>▶ Join panelists as they discuss FINRA and Pennsylvania requirements and resources relating to protecting senior investors. Panelists also address how firms and regulators handle situations involving potential senior exploitation and diminished capacity.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Sarah Gill</b>, FINRA Office of Government Affairs</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Gregory (Greg) McShea</b>, Janney Montgomery Scott</li> <li>• <b>Yvette Panetta</b>, FINRA Boca Raton District Office</li> <li>• <b>Secretary Robin Wiessmann</b>, Pennsylvania Department of Banking and Securities</li> </ul>
3:00 p.m. – 3:10 p.m.	Networking Break
<b>3:10 p.m. – 4:00 p.m.</b>	<b>Hot Topics in AML</b>
	<p>▶ Join regulatory staff and industry experts as they discuss changes impacting the anti-money laundering (AML) and financial crime environment. Panelists discuss new areas of focus and effective practices.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Joseph (Joe) McNulty</b>, FINRA Philadelphia District Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Sarah Green</b>, Vanguard Group, Inc.</li> <li>• <b>Eli Renshaw</b>, FINRA Anti-Money Laundering Investigative Unit (AMLIU)</li> <li>• <b>Glenn Skreppen</b>, Pennsylvania Department of Banking and Securities</li> </ul>
4:00 p.m. – 4:10 p.m.	Networking Break
<b>4:10 p.m. – 5:00 p.m.</b>	<b>Ask FINRA, Pennsylvania and NASAA Senior Staff</b>
	<p>▶ Panelists discuss the regulatory environment and a range of topics affecting broker-dealers.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>AnnMarie McGarrigle</b>, FINRA Philadelphia District Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Bill Bell</b>, FINRA Philadelphia District Office</li> <li>• <b>Zachary (Zack) Knepper</b>, North American Securities Administrators (NASAA)</li> <li>• <b>Eric Pistilli</b>, Pennsylvania Department of Banking and Securities</li> <li>• <b>Joseph (Joe) Sheirer</b>, FINRA North Region</li> <li>• <b>Kayte Toczylowski</b>, FINRA Philadelphia District Office</li> </ul>
5:00 p.m. – 6:00 p.m.	Networking Reception
6:00 p.m.	Seminar Adjourns

# Registration | Hotel and Travel Information

## How to Register

To register, visit [www.finra.org/DCEPA19](http://www.finra.org/DCEPA19) and complete the online registration. Seminar registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to [conreg@finra.org](mailto:conreg@finra.org).

### REGISTER NOW @

#### 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 seminar.

#### Fees

There is no cost to attend this event.

#### Contact Information

Please direct questions about registration to (800) 321-6273 or [conreg@finra.org](mailto:conreg@finra.org).

## Hotel Information

The 2019 FINRA District Compliance Seminar With the State of Pennsylvania takes place at:

Radisson Hotel Harrisburg  
1150 Camp Hill Bypass  
Camp Hill, PA 17011

## Travel Information

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

## Continuing Education (CE) Credits

Attendance to this seminar qualifies for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup>, and Certified Financial Planner (CFP) continuing education (CE) credits – plus a Continuing Legal Education (CLE) CE voucher.

## Speaker List | as of August 23, 2019

<b>Bill Bell</b>	FINRA Philadelphia District Office
<b>Sarah Gill</b>	FINRA Office of Government Affairs
<b>Sarah Green</b>	Vanguard Group, Inc.
<b>Zachary (Zack) Knepper</b>	North American Securities Administrators (NASAA)
<b>Stephen Marchese</b>	FINRA Philadelphia District Office
<b>AnnMarie McGarrigle</b>	FINRA Philadelphia District Office
<b>Joseph (Joe) McNulty</b>	FINRA Philadelphia District Office
<b>Gregory (Greg) McShea</b>	Janney Montgomery Scott
<b>Amber Nicklow</b>	Pennsylvania Department of Banking and Securities
<b>Yvette Panetta</b>	FINRA Boca Raton District Office
<b>Eric Pistilli</b>	Pennsylvania Department of Banking and Securities
<b>Eli Renshaw</b>	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
<b>Joseph (Joe) Sheirer</b>	FINRA North Region
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