



2019 FINRA Advertising Regulation Conference

October 24 –25 | Washington, DC

FINRA's Advertising Regulation Conference offers a comprehensive agenda designed for new and experienced advertising professionals. Industry and regulatory speakers will facilitate interactive, forward-looking discussions on current practices, policies, priorities and emerging communications regulation.

Register at www.finra.org/2019adregconf

Stay updated and share your comments using #FinraAdReg

FINRA[®]



Wednesday, October 23, 2019

5:30 p.m. – 7:30 p.m.	Kick Off Happy Hour with Exhibitors
5:30 p.m. – 7:30 p.m.	Registration
5:30 p.m. – 7:30 p.m.	Office Hours


Thursday, October 24, 2019

7:30 a.m. – 5:30 p.m.	Registration
7:30 a.m. – 5:30 p.m.	Office Hours
7:30 a.m. – 5:30 p.m.	AREF Demonstrations
7:30 a.m. – 5:30 p.m.	FINRA Innovation and Business Zone
7:30 a.m. – 10:00 a.m.	Continental Networking Breakfast
9:00 a.m. – 9:45 a.m.	Networking Icebreaker
	<p>► Come meet your fellow attendees at this fun and informative icebreaker session. Bring your coffee and questions about how to get the most from the conference experience. FINRA staff guide participants through light-hearted meet-and-greet activities and preview conference highlights.</p> <p>Moderators:</p> <ul style="list-style-type: none"> • Mark Bleich, FINRA Advertising Regulation • Wayne Louviere, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Natlyn Murrain, FINRA Advertising Regulation • Jeffrey (Jeff) Salisbury, FINRA Advertising Regulation • Kristina Shaw, FINRA Advertising Regulation
10:00 a.m. – 10:05 a.m.	Plenary Session I – Welcome Remarks
	<p>Speaker:</p> <ul style="list-style-type: none"> • Thomas (Tom) Pappas, FINRA Advertising Regulation
10:05 a.m. – 11:15 a.m.	Plenary Session II – Regulation Best Interest and Current Developments
	<p>► Join FINRA staff for an in-depth discussion on Regulation Best Interest and current advertising compliance issues. Topics include the impact of the FAIR Act, the status of FINRA's rule proposal related to the use of projections, and considerations in advertising bank sweep products and digital assets.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Joseph (Joe) Savage, FINRA Office of Regulatory Analysis <p>Panelists:</p> <ul style="list-style-type: none"> • Meredith Cordisco, FINRA Office of General Counsel • Thomas (Tom) Pappas, FINRA Advertising Regulation • Joseph (Joe) Price, FINRA Corporate Financing/Advertising Regulation
11:15 a.m. – 11:30 a.m.	Networking Break



Continuing Education (CE) Credits

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

Agenda | Thursday, October 24 | continued

11:30 a.m. – 12:30 p.m.	Investment Company Topics
	<p>▶ Join FINRA staff and industry panelists as they discuss advertising compliance issues concerning registered investment companies, including mutual funds, ETFs and closed-end funds. The panel includes discussions on current topics and trends, including innovative products, regulatory interpretations and compliance tips.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Gregory (Gregg) Riviello, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • JoDee Murphy, ALPS Fund Services, Inc. • Meredith Henning, Foreside • Richard Vagnoni, FINRA Office of Financial Innovation (OFI)
	Advertising Compliance Boot Camp: Fundamentals of FINRA Rule 2210 
	<p>▶ This session is designed for compliance and marketing professionals who are new to FINRA’s advertising rules or experienced practitioners interested in a refresher. A panel of FINRA professionals provides an overview of FINRA’s Communications With the Public rule, including filing requirements, internal approval and supervision, and content standards. Panelists answer questions about how to apply the rules to financial services communications and marketing materials.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Derek Ashworth, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Nancy Damiano, FINRA Advertising Regulation • Steven (Steve) O’Mara, FINRA Advertising Regulation • Mark Smith, FINRA Advertising Regulation
	Private Placements, Digital Assets & Alternative Investments
	<p>▶ This session focuses on industry and regulatory developments related to private placements, digital assets and alternative investments. During the session, panelists discuss common concerns and recent regulatory findings. Speakers provide practical information and compliance tips for firms offering these products to retail and institutional investors.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Ira Gluck, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Kavita Jain, FINRA Office of Financial Innovation (OFI) • Rebecca Knutson, FINRA Advertising Regulation • Minh Le, FINRA Corporate Financing
12:30 p.m. – 1:30 p.m.	Networking Lunch
1:30 p.m. – 1:45 p.m.	Dessert With Exhibitors
1:45 p.m. – 2:45 p.m.	General Brokerage and Supervision
	<p>▶ Join FINRA staff and industry practitioners as they discuss advertising compliance and sales practice issues applicable to general brokerage firms and their registered representatives. Industry panelists explore advertising compliance challenges and how they address the advertising rules with respect to dually registered representatives, marketing materials created by third parties, and new investment products. This panel also covers current areas of interest such as private placements and consolidated reports.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Stephanie Gregory, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Mark Bleich, FINRA Advertising Regulation • Cameron (Cam) Hellewell, Orchard Securities, LLC • Joseph (Joe) Fleming, Ameriprise Financial

Agenda | Thursday, October 24 | continued

1:45 p.m. – 2:45 p.m.	Investment Company Topics (Repeat Session) 
	<p>▶ Join FINRA staff and industry panelists as they discuss advertising compliance issues concerning registered investment companies, including mutual funds, ETFs and closed-end funds. The panel includes discussions on current topics and trends, including innovative products, regulatory interpretations and compliance tips.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Gregory (Gregg) Riviello, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Meredith Henning, Foreside • JoDee Murphy, ALPS Fund Services, Inc. • Richard Vagnoni, FINRA Office of Financial Innovation (OFI)
	Advertising Compliance Boot Camp: Select Topics
	<p>▶ Designed for new compliance and marketing professionals, FINRA panelists provide insights into the core concepts of social media and digital communications, as well as the basic requirements and frequently raised regulatory compliance questions with respect to communications concerning mutual funds, ETFs and variable insurance products. The panel also features sample advertisements and important do's and don'ts.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Anthony Maher, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Steven Choi, FINRA Advertising Regulation • Thomas (Tom) Dineen, FINRA Advertising Regulation • Joseph (Joe) George, FINRA Advertising Regulation
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Variable Insurance Products – Regulatory Overview and New Developments
	<p>▶ Panelists from FINRA and the industry conduct this interactive session—first with a brief overview of the essentials for creating compliant communications, followed by a discussion of specific areas that frequently raise questions and regulatory challenges. The panelists also explore new regulatory developments and innovations in the structure of contracts and investment options, along with how firms address the compliance challenges raised by the marketing of variable insurance products.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Pramit Das, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Richard Choi, Carlton Fields • Joseph (Joe) George, FINRA Advertising Regulation • James (Jim) Nemecek, AXA Equitable
	General Brokerage and Supervision (Repeat Session) 
	<p>▶ Join FINRA staff and industry practitioners as they discuss advertising compliance and sales practice issues applicable to general brokerage firms and their registered representatives. Industry panelists explore advertising compliance challenges and how they address the advertising rules with respect to dually registered representatives, marketing materials created by third parties, and new investment products. This panel also covers current areas of interest such as private placements and consolidated reports.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Stephanie Gregory, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Mark Bleich, FINRA Advertising Regulation • Cameron (Cam) Hellewell, Orchard Securities, LLC • Joseph (Joe) Fleming, Ameriprise Financial

Agenda | Thursday, October 24 | continued

3:00 p.m. – 4:00 p.m.	Advertising Review Workshop
	<p>▶ During this highly interactive and dynamic session, attendees apply advertising rules to several mock advertisements and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Anthony Maher, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Steven Choi, FINRA Advertising Regulation • Kimberly Flanders, FINRA Advertising Regulation
4:00 p.m. – 4:15 p.m.	Networking Break
4:15 p.m. – 5:00 p.m.	Plenary Session III - Investor Education and Financial Capabilities 🎥
	<p>▶ Join FINRA staff as they discuss the state of the U.S. Financial Capability Study and how innovations, financial education offerings and changes in the economy may impact the financial decisions and behaviors of millions of Americans.</p> <p>Introduction:</p> <ul style="list-style-type: none"> • Thomas (Tom) Pappas, FINRA Advertising Regulation <p>Speakers:</p> <ul style="list-style-type: none"> • Gary Mottola, FINRA Investor Education Foundation • Gerri Walsh, FINRA Office of Investor Education
5:00 p.m. – 6:30 p.m.	Networking Reception
Friday, October 25, 2019	
7:30 a.m. – 12:00 p.m.	Registration
7:30 a.m. – 12:00 p.m.	Office Hours
7:30 a.m. – 12:00 p.m.	AREF Demonstrations
7:30 a.m. – 12:00 p.m.	FINRA Innovation and Business Zone
7:30 a.m. – 8:30 a.m.	Continental Networking Breakfast
8:30 a.m. – 9:30 a.m.	Plenary Session IV – Disclosure Innovations and Digital Marketing Compliance 🎥
	<p>▶ In the rapidly developing world of digital marketing, how can firms stay in compliance? Can firms communicate relevant, meaningful information in the digital age? Attend this session to experience how industry and regulatory experts are grappling with these challenges. The panel covers current topics including how firms engage technology to address their compliance obligations and creative ways to use effective disclosure.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Amy Sochard, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Shayna Beck, Vanguard Group, Inc. • Alexander (Alex) Gavis, Fidelity Investments • Thomas (Tom) Pappas, FINRA Advertising Regulation
9:30 a.m. – 9:45 a.m.	Networking Break

FINRA Innovation and Business Zone Demonstrations

FINRA staff will be demonstrating various FINRA systems and online resources, and representatives from several FINRA departments will be available to answer questions.

- ▶ FINRA Website Redesign and Rulebook Consolidation
- ▶ Firm Compliance Resources
- ▶ Office of Financial Innovation (OFI)
- ▶ Securities Industry Essentials™ (SIE) and Continuing Education Transformation

AREF Demos

Learn about the latest enhancements to FINRA's Advertising Regulation Electronic Filing (AREF) System. These highly interactive demos answer all of your questions about the AREF system.

Agenda | Friday, October 25 | continued

9:45 a.m. – 10:45 a.m.	RegTech in Advertising Compliance and Beyond 🎥
	<p>▶ RegTech (Regulatory Technology) is more than a buzzword, it is a real movement that is already having an impact on regulatory compliance. Join FINRA staff and industry panelists as they share insight on innovative technologies being used to develop more effective, efficient, and risk-based compliance programs in the area of communications with the public. Panelists discuss how Reg Tech tools are helping address new challenges and regulatory implications associated with supervision, vendor management, data privacy and security.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Prमित Das, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Karl Brock, FINRA Technology • Melissa Koide, FinRegLab • Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)
	Sales Practice a Case Study Approach
	<p>▶ Designed for compliance professionals who supervise sales staff, this session examines the issues that registered principals confront in today's regulatory environment. Panelists representing FINRA Advertising Regulation, Enforcement and District Office staff address a wide range of topics drawn from recent enforcement cases, including supervisory procedures related to outside business activities, recent exam findings and the disciplinary process. They also highlight potential "red flags" and provide suggestions to help avoid compliance issues.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Steven (Steve) O'Mara, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Kimberly Flanders, FINRA Advertising Regulation • Stephen Marchese, FINRA Philadelphia District Office • Gina Petrocelli, FINRA Enforcement
10:45 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 12:00 p.m.	Municipal Rules and 529 Plans 🎥
	<p>▶ The municipal securities advertising rules have changed. Attend this session to learn how the regulators are applying the modernized standards including the new rule for municipal adviser firms. Plus FINRA staff will discuss the recent sweep involving 529 educational savings plans and developments in the marketing of these products. Panelists discuss how these rule changes impact firms marketing and advertising efforts.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Amy Sochard, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Pamela (Pam) Ellis, Municipal Securities Rulemaking Board (MSRB) • Christopher (Chris) Kelly, FINRA Enforcement
	Advertising Review Workshop (Repeat Session)
	<p>▶ During this highly interactive and dynamic session, attendees apply advertising rules to several mock advertisements and uncover the hidden concerns. Attendees work in small groups and present their findings to fellow participants, while moderators present the regulatory perspective, clarify any misperceptions and answer questions.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Anthony Maher, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Kimberly Flanders, FINRA Advertising Regulation • Matthew (Matt) Pinto, FINRA Advertising Regulation
12:00 p.m.	Conference Adjourns

How to Register

To register, visit www.finra.org/2019adregconf 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 (800) 321-6273 or 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 conference.

Cancellation Policy

The special discounted rate for the first 100 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after October 10, 2019.

Fees

REGISTER NOW @

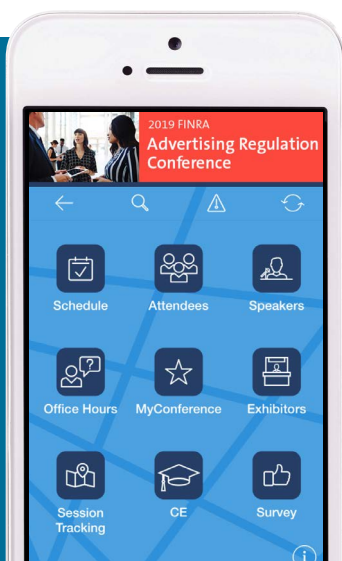
ATTEND IN-PERSON—INDIVIDUAL	
FINRA Member Firm must provide valid CRD #	\$1,000
FINRA Member Small Firm must provide valid CRD #	\$495
Government/Regulator	\$700
Non-Member	\$1,500

ATTEND IN PERSON GROUP* (Per Person)	
FINRA Member Firm must provide valid CRD #	\$900
FINRA Member Small Firm must provide valid CRD #	\$370
Government/Regulator	\$500
Non-Member	\$1,300

* Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

ATTEND VIA ONLINE LIVE BROADCAST* (Multi-Viewer)	
FINRA Member Firm must provide valid CRD #	\$500
FINRA Member Small Firm must provide valid CRD #	\$300
Government/Regulator	\$400
Non-Member	\$1,000

* Those who can't attend in person can participate via live online broadcast streamed over the Internet.



2019 FINRA Advertising Regulation Conference App

Our conference app is created specifically for the Advertising Regulation 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/2019adregconf

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to 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.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

Continuing Education (CE) Credits

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

Exhibitors

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

- ▶ ACA Compliance Group
- ▶ Foreside
- ▶ Hearsay Corp
- ▶ National Regulatory Services (NRS)
- ▶ Red Marker
- ▶ Red Oak Compliance Solutions, LLC
- ▶ RegEd
- ▶ SiteQuest
- ▶ Smarsh

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.

Hotel Information

The 2019 Advertising Regulation Conference takes place at:

Renaissance
Washington, DC
Downtown Hotel
999 Ninth Street, NW
Washington, DC 20001

Hotel Reservations

A room block is available at the Renaissance Washington, DC Downtown Hotel for registered attendees. The special room rate of \$339 per night, plus tax, is available until October 1, 2019, or until the room block is sold out.

To reserve a room, you must first register as an attendee for the conference. After you register, you will have the opportunity to book your hotel reservation within the FINRA registration system. Please contact us with any additional questions.

Office Hours

Meet with FINRA Advertising Regulation Staff members during office hours. Schedule a specific time through the conference app or by visiting the Office Hours Desk at the conference. You can ask specific questions, discuss topics raised during the conference, or get to know your firm's assigned analyst.

WEDNESDAY, OCTOBER 23

	TABLE 1	TABLE 2	TABLE 3	TABLE 4	TABLE 5
5:30 p.m. — 7:30 p.m.	Wayne Louviere	Mark Bleich	Jeffrey (Jeff) Salisbury	Natlyn Murrain	

THURSDAY, OCTOBER 24

	TABLE 1	TABLE 2	TABLE 3	TABLE 4	TABLE 5
7:30 a.m. — 8:00 a.m.	Wayne Louviere	Mark Bleich	Jeffrey (Jeff) Salisbury	Natlyn Murrain	
8:00 a.m. — 9:00 a.m.	Derek Ashworth	Joseph (Joe) George	Nicole Cashaw	Timothy (Tim) Dennis	Timothy (Tim) Holland
9:00 a.m. — 10:00 a.m.	J. Martin (Marty) Levine	Steven Choi	Thomas (Tom) Dineen	Meredith Mesa	
11:15 a.m. — 12:00 p.m.	Pramit Das	Susan Kole	Jeffrey (Jeff) Salisbury	Evan Spevak	Meredith Mesa
12:00 p.m. — 1:00 p.m.	J. Martin (Marty) Levine	Theodora (Theo) Richter	Nicole Cashaw	Bradley (Brad) Raymond	Michael Berkovich
1:00 p.m. — 2:00 p.m.	Cathy Siewick	Timothy (Tim) Holland	John Cunningham	Kristina Shaw	David Kim
2:00 p.m. — 3:00 p.m.	Timothy (Tim) Dennis	Caroline Waugaman	Evan Spevak	Bradley (Brad) Raymond	
3:00 p.m. — 4:00 p.m.	Rebecca Knutson	Theodora (Theo) Richter	Mark Smith	Michael Berkovich	
4:00 p.m. — 5:00 p.m.	Ira Gluck	Cathy Siewick	Thomas (Tom) Dineen	Kristina Shaw	David Kim

FRIDAY, OCTOBER 25

	TABLE 1	TABLE 2	TABLE 3	TABLE 4	TABLE 5
7:30 a.m. — 8:00 a.m.	Steven O'Mara	Anthony Maher	Kimberly Flanders		
8:00 a.m. — 9:00 a.m.	Jessica Polhamus	John Cunningham	Natlyn Murrain	Caroline Waugaman	Thomas (Tom) Dineen
9:00 a.m. — 10:00 a.m.	Mark Bleich	Timothy (Tim) Dennis	Susan Kole	Mark Smith	Evan Spevak
10:00 a.m. — 11:00 a.m.	Rebecca Knutson	Steven Choi	John Cunningham	Meredith Mesa	David Kim
11:00 a.m. — 12:00 p.m.	Susan Kole	Jeffrey (Jeff) Salisbury	Jessica Polhamus	Michael Berkovich	Kristina Shaw
12:00 p.m. — 12:30 p.m.	Wayne Louviere	Nancy Damiano	Caroline Waugaman	Natlyn Murrain	Nicole Cashaw

Speakers | as of October 9, 2019

Derek Ashworth	FINRA Advertising Regulation
Shayna Beck	Vanguard Group, Inc.
Michael Berkovich	FINRA Advertising Regulation
Mark Bleich	FINRA Advertising Regulation
Karl Brock	FINRA Technology
Don Bruns	FINRA Web Services
Nicole Cashaw	FINRA Advertising Regulation
Steven Choi	FINRA Advertising Regulation
Richard Choi	Carlton Fields
MaryBeth Clarke	FINRA Advertising Regulation
Meredith Cordisco	FINRA Office of General Counsel
John Cunningham	FINRA Advertising Regulation
Nancy Damiano	FINRA Advertising Regulation
Pramit Das	FINRA Advertising Regulation
Timothy (Tim) Dennis	FINRA Advertising Regulation
Thomas (Tom) Dineen	FINRA Advertising Regulation
Juan Echeverri	FINRA Office of Financial Innovation (OFI)
Pamela (Pam) Ellis	Municipal Securities Rulemaking Board (MSRB)
Kimberly Flanders	FINRA Advertising Regulation
Joseph (Joe) Fleming	Ameriprise Financial
Karrie Foley	FINRA Member Relations and Education
Alexander (Alex) Gavis	Fidelity Investments
Joseph (Joe) George	FINRA Advertising Regulation
Ira Gluck	FINRA Advertising Regulation
Stephanie Gregory	FINRA Advertising Regulation
Joyce Gregory	FINRA Advertising Regulation
Cameron (Cam) Hellewell	Orchard Securities, LLC
Meredith Henning	Foreside
Timothy (Tim) Holland	FINRA Advertising Regulation
Kavita Jain	FINRA Office of Financial Innovation (OFI)
Christopher (Chris) Kelly	FINRA Enforcement
David Kim	FINRA Advertising Regulation
Rebecca Knutson	FINRA Advertising Regulation
Melissa Koide	FinRegLab
Susan Kole	FINRA Advertising Regulation
Minh Le	FINRA Corporate Financing
J. Martin (Marty) Levine	FINRA Advertising Regulation
Wayne Louviere	FINRA Advertising Regulation
Anthony Maher	FINRA Advertising Regulation
Stephen Marchese	FINRA Philadelphia District Office
Meredith Mesa	FINRA Advertising Regulation
Dana Monsky	FINRA Registration and Disclosure's Testing and Continuing Education
Gary Mottola	FINRA Investor Education Foundation
JoDee Murphy	ALPS Fund Services, Inc.
Natlyn Murrain	FINRA Advertising Regulation
James (Jim) Nemecek	AXA Equitable

Speakers | as of October 9, 2019 (continued)

Steven (Steve) O'Mara	FINRA Advertising Regulation
Thomas (Tom) Pappas	FINRA Advertising Regulation
Gina Petrocelli	FINRA Enforcement
Matthew (Matt) Pinto	FINRA Advertising Regulation
Jessica Polhamus	FINRA Advertising Regulation
Joseph (Joe) Price	FINRA Corporate Financing/Advertising Regulation
Bradley (Brad) Raymond	FINRA Advertising Regulation
Theodora (Theo) Richter	FINRA Advertising Regulation
Gregory (Gregg) Riviello	FINRA Advertising Regulation
Jeffrey (Jeff) Salisbury	FINRA Advertising Regulation
Joseph (Joe) Savage	FINRA Office of Regulatory Analysis
Kristina Shaw	FINRA Advertising Regulation
Cathy Siewick	FINRA Advertising Regulation
Mark Smith	FINRA Advertising Regulation
Amy Sochard	FINRA Advertising Regulation
Evan Spevak	FINRA Advertising Regulation
Aravindan Srinivasan	FINRA Technology
Daniel (Danny) Toula	FINRA Registration and Disclosure's Testing and Continuing Education
Richard Vagnoni	FINRA Office of Financial Innovation (OFI)
Gerri Walsh	FINRA Office of Investor Education
Caroline Waugaman	FINRA Advertising Regulation
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)