



**2019 FINRA**

# Regulation Best Interest Conference

**December 18, 2019 | Washington, DC**

FINRA's Regulation Best Interest Conference is a one-day event designed to bring regulators, executives and industry practitioners together to learn more about Regulation Best Interest (Reg BI).

**FINRA**<sup>®</sup>

Register at [www.finra.org/regbiconf19](http://www.finra.org/regbiconf19)

Stay updated and share your comments using #FinraRegBI

# Agenda | Wednesday, December 18

8:00 a.m. – 4:45 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:05 a.m.	Welcome Remarks — <b>Chip Jones</b> , FINRA Member Relations and Education
<b>9:05 a.m. – 10:00 a.m.</b>	<b>Regulation Best Interest: Understanding Your Disclosure, Standard of Care, Conflict of Interest and Compliance Obligations</b>
	<p>▶ Reg BI imposes a number of new obligations on broker-dealers when making securities or investment strategy recommendations to retail customers. Panelists discuss the new requirements and effective practices to help broker-dealers manage their Reg BI obligations.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>James (Jim) Wrona</b>, FINRA Office of General Counsel</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Evan Charkes</b>, Bank of America</li> <li>• <b>Michelle Kelley</b>, LPL Financial, LLC</li> <li>• <b>Emily Westerberg Russell</b>, U.S. Securities and Exchange Commission (SEC)</li> </ul>
10:00 a.m. – 10:15 a.m.	Networking Break
<b>10:15 a.m. – 11:00 a.m.</b>	<b>Form CRS: What You Need to Know</b>
	<p>▶ Join panelists as they discuss Form CRS, its impact on the industry and effective practices.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Meredith Cordisco</b>, FINRA Office of General Counsel</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Alicia Goldin</b>, U.S. Securities and Exchange Commission (SEC)</li> <li>• <b>Rema Holland</b>, Wells Fargo Advisors</li> <li>• <b>Wendy Lanton</b>, Lantern Investments, Inc.</li> </ul>
11:00 a.m. – 11:15 a.m.	Networking Break
<b>11:15 a.m. – 12:15 p.m.</b>	<b>Issues for Dual Registrants</b>
	<p>▶ This session addresses issues that are especially important to firms registered as both broker-dealers and investment advisers. These issues include the SEC's June 2019 investment adviser interpretive releases and compliance with Reg BI, Form CRS and the fiduciary duty of investment advisers.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Thomas (Tom) Selman</b>, FINRA Office of Regulatory Analysis</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>E. Michael Serbanos</b>, Raymond James Financial</li> <li>• <b>Emily Westerberg Russell</b>, U.S. Securities and Exchange Commission (SEC)</li> <li>• <b>Stephen (Steve) Youhn</b>, ProEquities, Inc.</li> <li>• <b>Sarah G. ten Siethoff</b>, U.S. Securities and Exchange Commission (SEC)</li> </ul>
12:15 p.m. – 1:15 p.m.	Networking Lunch
<b>1:15 p.m. – 2:15 p.m.</b>	<b>How Will Reg BI and Form CRS Affect Your Interactions With Clients?</b>
	<p>▶ This panel considers practical impacts of Reg BI and Form CRS on how broker-dealers connect with their customers.</p> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Joseph (Joe) Savage</b>, FINRA Office of Regulatory Analysis</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Mark Cresap</b>, Cresap, Inc.</li> <li>• <b>Robert (Bob) Molinari</b>, Commonwealth Financial Network</li> <li>• <b>Steve Bee</b>, Edward Jones</li> </ul>

# Agenda | Wednesday, December 18 | continued

2:15 p.m. – 2:30 p.m.	Networking Break
2:30 p.m. – 3:30 p.m.	<b>Fireside Chat</b>
	<ul style="list-style-type: none"> <li>▶ Session Introduction by FINRA President and CEO <b>Robert Cook</b></li> </ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>Robert (Bob) Colby</b>, FINRA Chief Legal Office</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Dalia Blass</b>, U.S. Securities and Exchange Commission (SEC)</li> <li>• <b>Peter (Pete) Driscoll</b>, U.S. Securities and Exchange Commission (SEC)</li> <li>• <b>Brett Redfearn</b>, U.S. Securities and Exchange Commission (SEC)</li> </ul>
3:30 p.m. – 3:45 p.m.	Networking Break
3:45 p.m. – 4:40 p.m.	<b>A Conversation With FINRA Examiners and the SEC’s Office of Compliance Inspections and Examinations</b>
	<ul style="list-style-type: none"> <li>▶ Attend this session to hear from OCIE and FINRA staff about how they intend to examine and inspect for compliance with Reg BI, including a discussion of implementation challenges.</li> </ul> <p><b>Moderator:</b></p> <ul style="list-style-type: none"> <li>• <b>William (Bill) St. Louis</b>, FINRA Member Supervision</li> </ul> <p><b>Panelists:</b></p> <ul style="list-style-type: none"> <li>• <b>Scott Gilbert</b>, FINRA New York District Office</li> <li>• <b>John Polise</b>, U.S. Securities and Exchange Commission (SEC)</li> <li>• <b>Yvette Panetta</b>, FINRA Member Supervision</li> </ul>
4:40 p.m. – 4:45 p.m.	Closing Remarks— <b>Chip Jones</b> , FINRA Member Relations and Education
4:45 p.m.	<b>Conference Adjourns</b>



### Continuing Education (CE) Credits

Attendance to this conference 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.

### Digital Experience Transformation (DXT)

Visit FINRA’s Digital Experience Transformation (DXT) table to learn more about the effort to simplify firms’ digital interactions with FINRA.

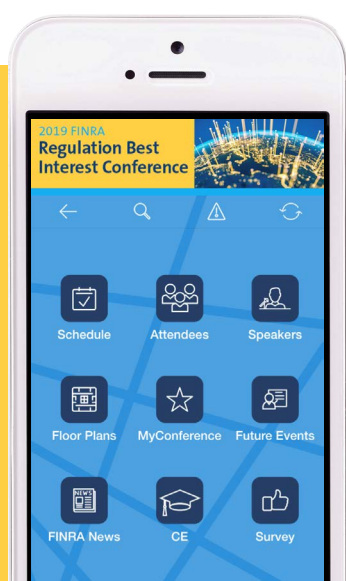
### Contact Information

If you have any questions regarding this conference, please call (800) 321-6273.

For more information and to register, please visit [www.finra.org/regbiconf19](http://www.finra.org/regbiconf19)

# Speakers | as of December 4, 2019

Speaker	Company
Steve Bee	Edward Jones
Dalia Blass	U.S. Securities and Exchange Commission (SEC)
Evan Charkes	Bank of America
Robert (Bob) Colby	FINRA Chief Legal Office
Robert Cook	FINRA
Meredith Cordisco	FINRA Office of General Counsel
Mark Cresap	Cresap, Inc.
Peter (Pete) Driscoll	U.S. Securities and Exchange Commission (SEC)
Jennifer (Jen) Duran	FINRA Enterprise Data Platforms
Scott Gilbert	FINRA Member Supervision
Alicia Goldin	U.S. Securities and Exchange Commission (SEC)
Rema Holland	Wells Fargo Advisors
Chip Jones	FINRA Member Relations and Education
Michelle Kelley	LPL Financial, LLC
Wendy Lanton	Lantern Investments, Inc.
Julia McCafferty	FINRA Enterprise Data Platforms
Robert (Rob) Molinari	Commonwealth Financial Network
Yvette Panetta	FINRA Member Supervision
John Polise	U.S. Securities and Exchange Commission (SEC)
Brett Redfearn	U.S. Securities and Exchange Commission (SEC)
Emily Westerberg Russell	U.S. Securities and Exchange Commission (SEC)
Joseph (Joe) Savage	FINRA Office of Regulatory Analysis
Thomas (Tom) Selman	FINRA Office of Regulatory Analysis
E. Michael Serbanos	Raymond James Financial
William (Bill) St. Louis	FINRA Member Supervision
Sarah G. ten Siethoff	U.S. Securities and Exchange Commission (SEC)
James (Jim) Wrona	FINRA Office of General Counsel
Stephen (Steve) Youhn	ProEquities, Inc.



## 2019 FINRA Regulation Best Interest Conference App

Our conference app is created specifically for the Regulation Best Interest 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;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.

For more information and to register, please visit [www.finra.org/regbiconf19](http://www.finra.org/regbiconf19)

# Registration | Hotel and Travel Information

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## How to Register

**The Regulation Best Interest Conference is sold out.** There is a waitlist for this event.

To register, visit [www.finra.org/regbiconf19](http://www.finra.org/regbiconf19) 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 [customersupport@finra.org](mailto:customersupport@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

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 December 4, 2019.

### Fees

The conference is free for the first two attendees from each FINRA Member firm.

- ▶ **Non-Member firms** will be charged \$1,695 to attend.
- ▶ **Government/State** will be charged \$495 to attend.

### Contact Information

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

## 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

Capital Hilton  
1001 16th St. NW  
Washington, DC  
20036

### Reservations

The room block is sold out. Attendees may contact the Capital Hilton directly for hotel reservations. Hotel reservations will then be accepted on a space- and rate-available basis.

### New Process for FINRA Programs

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.

For more information and to register, please visit [www.finra.org/regbiconf19](http://www.finra.org/regbiconf19)