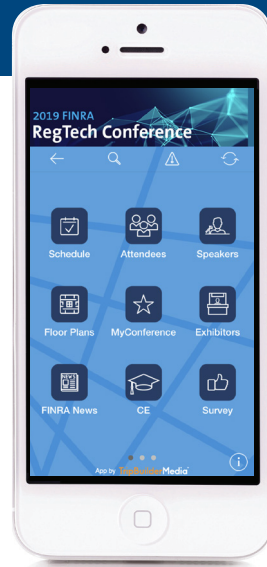


APP TIPS

RegTech Conference App

Registered attendees are granted access to the RegTech Conference app.

All materials—including session presentations, handouts and the conference schedule—are available through the app.



Download the Conference App

Download the RegTech Conference app for access to all event materials—including session presentations, handouts and session descriptions. See the App Tip Sheet for more information.

1. Go to the App store on your mobile device (Google Play Store/iTunes App Store).
2. Search for “FINRA’s Events” in the store and download the app.
3. When the download is complete, open the app.
4. Enter your **user ID** (the email address you used to register for the conference) and **password** (finra1939). If you have previously logged into the app and changed your password, the same password will apply.
5. Click on the “Events” icon and then select “RegTech Conference.”

EXHIBITORS

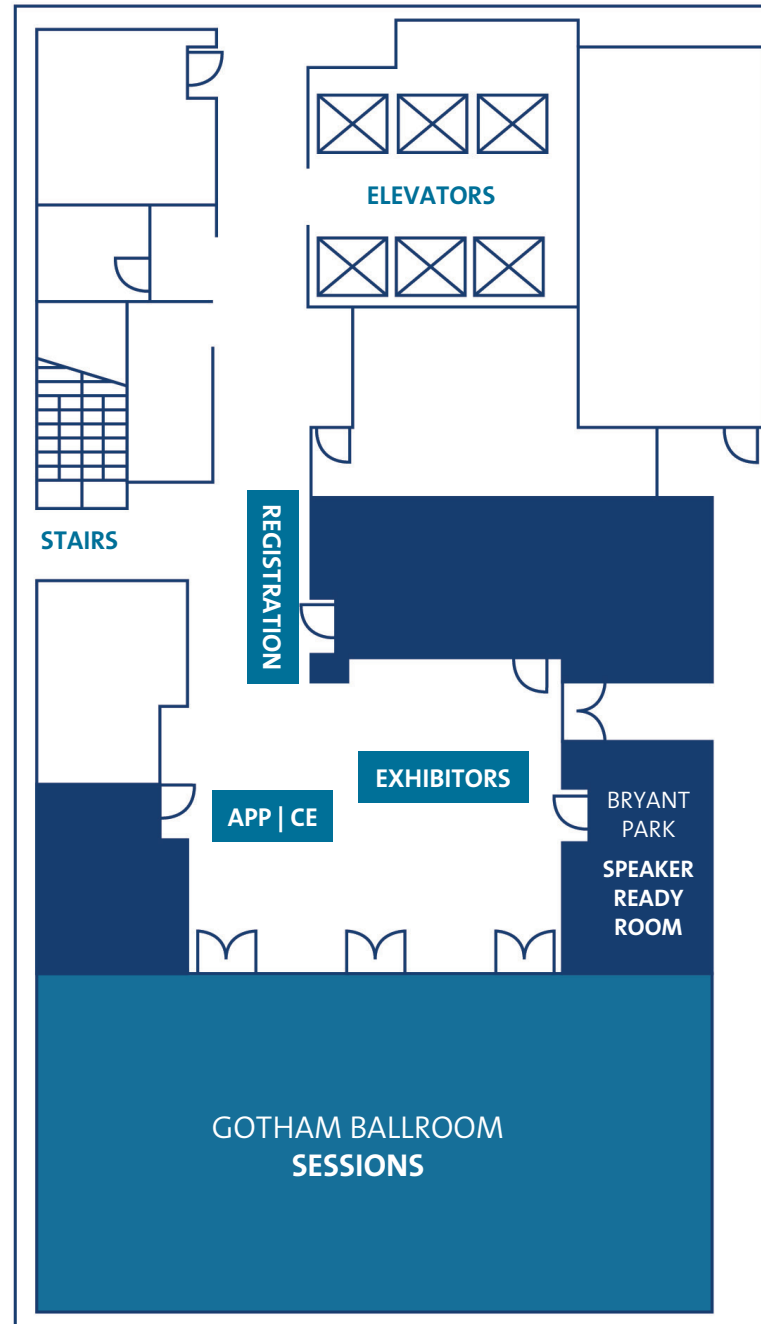
Conference exhibitors showcase a range of products and services for broker-dealer firms.

Current exhibitors include:

- ▶ Bastille
- ▶ Entreda
- ▶ FinWeb Tech LLC
- ▶ Global Relay
- ▶ N-Tier Financial Services, LLC
- ▶ Red Oak Compliance
- ▶ RegEd
- ▶ Smarsh

CONFERENCE MAP

InterContinental New York Times Square



2019 FINRA RegTech Conference

January 17, 2019

New York, NY

- ▶ Agenda
- ▶ Wi-Fi Code Access
Network: IC_TimesSquare_Conference
Password: finra1939
- ▶ App Information
- ▶ Continuing Education (CE)
Credit Information
- ▶ Business Model Ribbon Key
- ▶ Event Map
- ▶ Exhibitor List



WELCOME

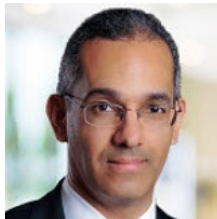


At the RegTech Conference, you will attend educational sessions and have opportunities to network with peers and FINRA representatives. We have prepared this program to help you navigate the event.

Featured Speakers:



Robert (Bob) Colby
FINRA



Andrew Gray
The Depository Trust & Clearing Corporation (DTCC)

AGENDA

Thursday, January 17

7:30 a.m. – 4:00 p.m.	Registration
7:30 a.m. – 8:30 a.m.	Networking Breakfast
8:30 a.m. – 8:35 a.m.	Welcome Remarks
8:35 a.m. – 9:35 a.m.	Technology Tools for RegTech
9:35 a.m. – 9:45 a.m.	Networking Break
9:45 a.m. – 10:45 a.m.	Regulators' Viewpoints on RegTech
10:45 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 11:30 a.m.	Fireside Chat <ul style="list-style-type: none">▶ Robert Colby, FINRA Chief Legal Officer▶ Andrew Gray, Depository Trust & Clearing Corporation (DTCC)
11:30 a.m. – 12:30 p.m.	Networking Lunch and Dessert With Exhibitors
12:30 p.m. – 1:30 p.m.	RegTech Initiatives for Customer Identification and Anti-Money Laundering (AML) Compliance
1:30 p.m. – 1:45 p.m.	Networking Break
1:45 p.m. – 2:45 p.m.	RegTech Initiatives for Surveillance and Monitoring
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Industry Views on the Current State and Future of RegTech
4:00 p.m.	Conference Adjourns

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) CE credits—plus a Continuing Legal Education (CLE) CE voucher.

Stop by the App/CE table in the Gotham Ballroom Foyer to receive your CLE CE voucher.

Business Model Ribbon Key

Use the key to network with other attendees with similar business models.

	Retail
	Retail—Independent Contractor
	Institutional
	Insurance Affiliate
	Private Placement / Mergers and Acquisitions
	RegTech
	Clearing