

January 23, 2020

Hollywood, FL

2020 FINRA

South Region Member Forum

Welcome

The FINRA South Region Member Forum is a one-day event designed to provide financial professionals associated with FINRA member firms in the South Region the opportunity to engage in key discussions with FINRA staff, and connect with industry leaders and peers. The forum also includes thoughtful discussions around the future landscape of the financial services industry, and the opportunity to meet one-on-one with FINRA Risk Monitoring Analysts and Surveillance Directors to discuss firm-specific questions.

Agenda

8:00 a.m. – 3:00 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:05 a.m.	Welcome and Opening Remarks
9:05 a.m. – 9:45 a.m.	► Transformation of FINRA's Examination and Risk Monitoring Program
9:45 a.m. – 10:00 a.m.	Networking Break
10:00 a.m. – 11:00 a.m.	► Suspicious Activity Monitoring: What to Look for and How to Find It
11:00 a.m. – 11:15 a.m.	Networking Break
11:15 a.m. – 12:15 p.m.	► FINRA Examination Findings and Priorities
12:15 p.m. – 1:30 p.m.	Networking Lunch
1:30 p.m. – 3:00 p.m.	► Regulation Best Interest and Form CRS: What You Need to Know
3:00 p.m.	South Region Member Forum Adjourns

Continuing Education (CE) Credits

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

Stop by the App/CE Desk in the Great Hall I & II Foyer.

Wi-Fi Code Access

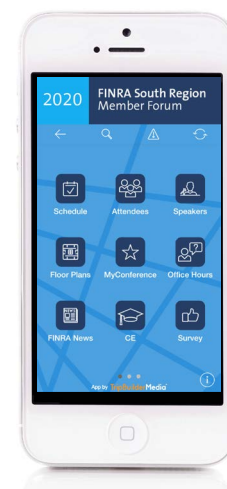
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Conference_Access

Password:
finra1939

Download the Conference App

Download the FINRA South Region Member Forum 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” and then 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 event) and password (finra1939).
5. Click on the “Events” icon and then select the “South Region Member Forum.”



FINRA[®]

Office Hours

Office Hours provide an opportunity for forum attendees to meet one-on-one with FINRA staff.

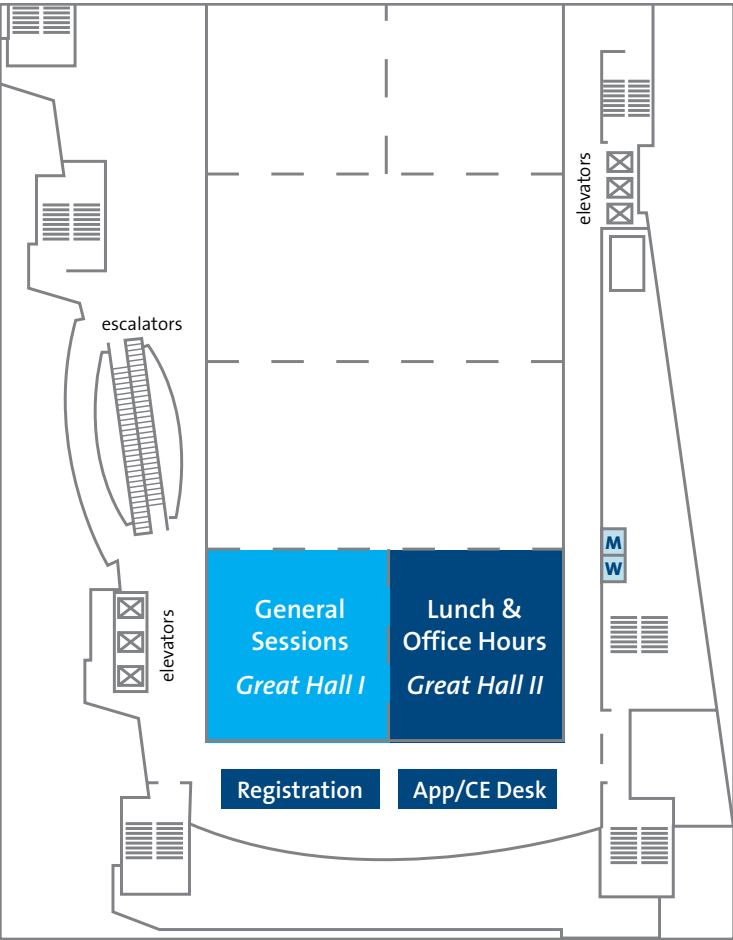
FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions and issues. Attendees can make an appointment via the forum app or onsite at the App/CE Desk.

► Office Hours are held in the Great Hall II

Time	Coordinator	Office	Table
9:00 a.m. to 10:00 a.m.	Edward (Ed) Rumph	Boca Raton	1
	Laura Pagnanelli	Boca Raton	2
	Lisa Reid	Boca Raton	3
10:00 a.m. to 11:00 a.m.	Michael (Mike) Yuan	Dallas	1
	Angela Brunelle	Boca Raton	2
11:00 a.m. to 12:00 p.m.	Clinton (Clint) Johnson	Atlanta	1
	Mayte Lujan	Boca Raton	2
2:00 p.m. to 3:00 p.m.	Clifford (Cliff) Wexler	Boca Raton	1
	Sharon Frankel	Boca Raton	2

Forum Map | Hotel

Take a few moments to review the floor plan to help you become familiar with the layout.



Speaker List

Speaker	FINRA Office
Brooks Brown	FINRA Member Supervision
Angela Brunelle	FINRA Member Supervision
Dawn Calonge	FINRA Member Supervision
Anthony (Tony) Cognevich	Hancock Whitney Investment Services Inc.
Meredith Cordisco	FINRA Office of General Counsel
Sharon Frankel	FINRA Member Supervision
Grant Gibbons	FINRA Member Supervision
Lourdes Gonzalez	U.S. Securities and Exchange Commission (SEC)
Clinton (Clint) Johnson	FINRA Member Supervision
Chip Jones	FINRA Member Relations and Education
Mayte Lujan	FINRA Member Supervision
Scott Maestri	FINRA Member Supervision
Elizabeth Mauro	FINRA Member Supervision
Brock Miller	Raymond James Financial, Inc.
Thomas (Tom) Nelli	FINRA Member Supervision
Laura Pagnanelli	FINRA Member Supervision
Michael (Mike) Pedlow	Kestra Investment Services, LLC
Lisa Reid	FINRA Member Supervision
Edward (Ed) Rumph	FINRA Member Supervision
Blake Snyder	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Erin Vocke	FINRA Member Supervision
Clifford (Cliff) Wexler	FINRA Member Supervision
Melinda Wolfe	Kovack Securities, Inc.
Daniel (Danny) Woodring	PFS Investment Inc.
Michael (Mike) Yuan	FINRA Member Supervision

Business Model | Ribbon Key

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

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