

February 12, 2020

Boston, MA

2020 FINRA

North Region Member Forum

Welcome

The FINRA North Region Member Forum is a one-day event designed to provide financial professionals associated with FINRA member firms in the North 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 provides opportunities to meet one-on-one with FINRA Risk Monitoring Analysts and 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.	Fireside Chat With FINRA President and CEO Robert Cook and Senior Director of Member Relations and Education Patricia Albrecht
9:45 a.m. – 10:00 a.m.	Networking Break
10:00 a.m. – 11:00 a.m.	Transformation of FINRA's Examination and Risk Monitoring Program
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.	North Region Member Forum Adjourns

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 Plymouth Room

Time	Coordinator	Office	Table
10:00 a.m. – 11:00 a.m.	AnnMarie McGarrigle	Risk Monitoring Director - Philadelphia	1
	Jessica Greenberg	Principal Analyst, Risk Monitoring - Boston	2
	Cindy Miller	Principal Analyst, Risk Monitoring - Boston	3
11:00 a.m. – 12:00 p.m.	Stephen (Steve) Poirier	Risk Monitoring Director - Boston	1
	George Malley	Principal Analyst, Risk Monitoring - Boston	2
2:00 p.m. – 3:00 p.m.	Kathryn Travers	Risk Monitoring Director - Boston	1
	Keith Plamondon	Principal Analyst, Risk Monitoring - Boston	2

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 Grand Ballroom Foyer.

Wi-Fi Code Access

Network: *Hyatt Meeting*

Password: *finra1939*

FINRA[®]

Business Model | Ribbon Key

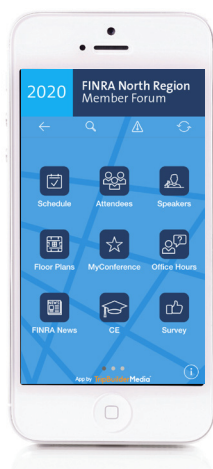
Use the key below to network with other attendees with similar business models.

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

Download the Conference App

Download the FINRA North 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 “North Region Member Forum.”



Speaker List

Speaker	Company
Patricia Albrecht	FINRA Member Relations and Education
Bill Bell	FINRA Member Supervision
Robert Cook	FINRA
Todd Coppi	FINRA Member Supervision
Alicia Goldin	U.S. Securities and Exchange Commission (SEC)
Jessica Greenberg	FINRA Member Supervision
Sheelagh Howett	Cantella & Co., Inc.
George Malley	FINRA Member Supervision
AnnMarie McGarrigle	FINRA Member Supervision
Cindy Miller	FINRA Member Supervision
Elizabeth (Liz) Page	FINRA Member Supervision
Page Pennell	AXA Advisors, LLC
Keith Plamondon	FINRA Member Supervision
Stephen (Steve) Poirier	FINRA Member Supervision
Gina Rettagliata	FINRA Member Supervision
Joseph (Joe) Savage	FINRA Office of Regulatory Analysis
Elena Schlickemaier	FINRA Member Supervision
Joseph (Joe) Sheirer	FINRA Member Supervision
Robert (Rob) Sulik	FINRA Member Supervision
Kayte Toczylowski	FINRA Member Supervision
Kathryn Travers	FINRA Member Supervision

Forum Map | Hotel—Hyatt Regency Boston

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

