2020 FINRA Small Firm Virtual Conference – Office Hours

Office Hours provide an opportunity for conference 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 during registration or through the virtual conference hub.

Wednesday, October 28	Office Hour	Room I	Office Hour	Room II
	Time		Time	
8:00 a.m. – 8:30 a.m.	8:00 a.m. –	Patricia Monterosso		
	8:30 a.m.	Director, CRED Continuing Education Services		
		Credentialing, Registration, Education and Disclosure (CRED)		
		Kelly Swanstrom		
		Associate Director, CRED Continuing Education Marketplace		
0.45	0.45	Credentialing, Registration, Education and Disclosure (CRED)	0.45	Dring ((available (Disconsifient Complete and Observing))
9:45 a.m. – 10:30 a.m.	9:45 a.m. –	Robert (Rob) Sulik (Capital Markets)	9:45 a.m. –	Brian Kowalski (Diversified, Carrying and Clearing)
	10:00 a.m.	Senior Director, Risk Monitoring – Boston Office	10:00 a.m.	Senior Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
		Henry (Hank) Kugaczewski (Capital Markets)		Maria Valencia (Trading and Execution)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
	10:00 a.m. –	Robert (Rob) Sulik (Capital Markets)	10:00 a.m. –	Brian Kowalski (Diversified, Carrying and Clearing)
	10:15 a.m.	Senior Director, Risk Monitoring – Boston Office	10:15 a.m.	Senior Director, Risk Monitoring – New York Office
	10.10 a.m.	FINRA Member Supervision	10.10 a.m.	FINRA Member Supervision
		Henry (Hank) Kugaczewski (Capital Markets)		Maria Valencia (Trading and Execution)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
	10:15 a.m. –	Robert (Rob) Sulik (Capital Markets)	10:15 a.m. –	Brian Kowalski (Diversified, Carrying and Clearing)
	10:30 a.m.	Senior Director, Risk Monitoring – Boston Office	10:30 a.m.	Senior Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
		Henry (Hank) Kugaczewski (Capital Markets)		Maria Valencia (Trading and Execution)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
10:45 a.m. – 11:30 a.m.	10:45 a.m. –	Patrick (Pat) Tominey (Trading and Execution)	10:45 a.m. –	Laura Trotz (Capital Markets)
	11:00 a.m.	Vice President, Firm Group Risk Monitoring – New York Office	11:00 a.m.	Senior Director, Risk Monitoring – Chicago Office
		FINRA Member Supervision		FINRA Member Supervision
		Lucy Palmieri (Trading and Execution)		Matthew (Matt) Reyburn (Capital Markets)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – Chicago Office
		FINRA Member Supervision		FINRA Member Supervision
	11:00 a.m. –	Patrick (Pat) Tominey (Trading and Execution)	11:00 a.m. –	Laura Trotz (Capital Markets)
	11:15 a.m.	Vice President, Firm Group Risk Monitoring – New York Office	11:15 a.m.	Senior Director, Risk Monitoring – Chicago Office
	11.10 d.m.	FINRA Member Supervision	11.10 d.m.	FINRA Member Supervision
		Lucy Palmieri (Trading and Execution)		Matthew (Matt) Reyburn (Capital Markets)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – Chicago Office
		FINRA Member Supervision		FINRA Member Supervision
	11:15 a.m. –	Patrick (Pat) Tominey (Trading and Execution)	11:15 a.m. –	Laura Trotz (Capital Markets)
	11:30 a.m.	Vice President, Firm Group Risk Monitoring – New York Office	11:30 a.m.	Senior Director, Risk Monitoring – Chicago Office
		FINRA Member Supervision		FINRA Member Supervision

		Lucy Palmieri (Trading and Execution)		Matthew (Matt) Reyburn (Capital Markets)
		Director, Risk Monitoring – New York Office		Director, Risk Monitoring – Chicago Office
		FINRA Member Supervision		FINRA Member Supervision
12:00 p.m. – 12:00 p.m.	12:00 p.m. –	Patricia Monterosso		
	12:30 p.m.	Director, CRED Continuing Education Services		
		Credentialing, Registration, Education and Disclosure (CRED)		
		Kelly Swanstrom		
		Associate Director, CRED Continuing Education Marketplace		
		Credentialing, Registration, Education and Disclosure (CRED)		
1:15 p.m. – 2:00 p.m.	1:15 p.m. –	Elizabeth (Liz) Page (Retail)	1:15 p.m. –	Elliot Henslovitz (Capital Markets)
	1:30 p.m.	Vice President, Firm Group Risk Monitoring – Boston Office	1:30 p.m.	Senior Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
		Annmarie McGarrigle (Retail)		Kathryn Travers (Capital Markets)
		Director, Risk Monitoring – Philadelphia Office		Director, Risk Monitoring – Boston Office
	1.20 p.m	FINRA Member Supervision Elizabeth (Liz) Page (Retail)	1:20 p m	FINRA Member Supervision Elliot Henslovitz (Capital Markets)
	1:30 p.m. – 1:45 p.m.	Vice President, Firm Group Risk Monitoring – Boston Office	1:30 p.m. – 1:45 p.m.	Senior Director, Risk Monitoring – New York Office
	1.45 p.m.	FINRA Member Supervision	1.45 p.m.	FINRA Member Supervision
		Annmarie McGarrigle (Retail)		Kathryn Travers (Capital Markets)
		Director, Risk Monitoring – Philadelphia Office		Director, Risk Monitoring – Boston Office
		FINRA Member Supervision		FINRA Member Supervision
	1:45 p.m. –	Elizabeth (Liz) Page (Retail)	1:45 p.m. –	Elliot Henslovitz (Capital Markets)
	2:00 p.m.	Vice President, Firm Group Risk Monitoring – Boston Office	2:00 p.m.	Senior Director, Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
		Annmarie McGarrigle (Retail)		Kathryn Travers (Capital Markets)
		Director, Risk Monitoring – Philadelphia Office		Director, Risk Monitoring – Boston Office
		FINRA Member Supervision		FINRA Member Supervision
2:15 p.m. – 3:00 p.m.	2:15 p.m. –	Lance Burkett (Retail)	2:15 p.m. –	Scott Gilbert (Diversified, Carrying and Clearing)
	2:30 p.m.	Senior Director, Risk Monitoring – Denver Office	2:30 p.m.	Vice President, Firm Group Risk Monitoring – New York Office
		FINRA Member Supervision		FINRA Member Supervision
		Colleen Diles (Retail)		Stacie Jungling (Capital Markets)
		Director, Risk Monitoring – Los Angeles Office FINRA Member Supervision		Director, Risk Monitoring – Denver Office FINRA Member Supervision
	2:30 p.m. –	Lance Burkett (Retail)	2:30 p.m. –	Scott Gilbert (Diversified, Carrying and Clearing)
	2:45 p.m.	Senior Director, Risk Monitoring – Denver Office	2:45 p.m.	Vice President, Firm Group Risk Monitoring – New York Office
		FINRA Member Supervision	p	FINRA Member Supervision
		Colleen Diles (Retail)		Stacie Jungling (Capital Markets)
		Director, Risk Monitoring – Los Angeles Office		Director, Risk Monitoring – Denver Office
	0.45	FINRA Member Supervision	0.45	FINRA Member Supervision
	2:45 p.m. –	Lance Burkett (Retail)	2:45 p.m. –	Scott Gilbert (Diversified, Carrying and Clearing)
	3:00 p.m.	Senior Director, Risk Monitoring – Denver Office FINRA Member Supervision	3:00 p.m.	Vice President, Firm Group Risk Monitoring – New York Office
				FINRA Member Supervision
		Colleen Diles (Retail)		Stacie Jungling (Capital Markets)
		Director, Risk Monitoring – Los Angeles Office		Director, Risk Monitoring – Denver Office
		FINRA Member Supervision		FINRA Member Supervision