

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 Time	Room I	Office Hour Time	Room II	
8:00 a.m. – 8:30 a.m.	8:00 a.m. – 8:30 a.m.	Patricia Monterosso 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)			
	9:45 a.m. – 10:30 a.m.	9:45 a.m. – 10:00 a.m.	Robert (Rob) Sulik (Capital Markets) Senior Director, Risk Monitoring – Boston Office FINRA Member Supervision	9:45 a.m. – 10:00 a.m.	Brian Kowalski (Diversified, Carrying and Clearing) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision
			Henry (Hank) Kugaczewski (Capital Markets) Director, Risk Monitoring – New York Office FINRA Member Supervision		Maria Valencia (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision
		10:00 a.m. – 10:15 a.m.	Robert (Rob) Sulik (Capital Markets) Senior Director, Risk Monitoring – Boston Office FINRA Member Supervision	10:00 a.m. – 10:15 a.m.	Brian Kowalski (Diversified, Carrying and Clearing) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision
			Henry (Hank) Kugaczewski (Capital Markets) Director, Risk Monitoring – New York Office FINRA Member Supervision		Maria Valencia (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision
		10:15 a.m. – 10:30 a.m.	Robert (Rob) Sulik (Capital Markets) Senior Director, Risk Monitoring – Boston Office FINRA Member Supervision	10:15 a.m. – 10:30 a.m.	Brian Kowalski (Diversified, Carrying and Clearing) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision
			Henry (Hank) Kugaczewski (Capital Markets) Director, Risk Monitoring – New York Office FINRA Member Supervision		Maria Valencia (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision
	10:45 a.m. – 11:30 a.m.	10:45 a.m. – 11:00 a.m.	Patrick (Pat) Tominey (Trading and Execution) Vice President, Firm Group Risk Monitoring – New York Office FINRA Member Supervision	10:45 a.m. – 11:00 a.m.	Laura Trotz (Capital Markets) Senior Director, Risk Monitoring – Chicago Office FINRA Member Supervision
			Lucy Palmieri (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision		Matthew (Matt) Reyburn (Capital Markets) Director, Risk Monitoring – Chicago Office FINRA Member Supervision
11:00 a.m. – 11:15 a.m.		Patrick (Pat) Tominey (Trading and Execution) Vice President, Firm Group Risk Monitoring – New York Office FINRA Member Supervision	11:00 a.m. – 11:15 a.m.	Laura Trotz (Capital Markets) Senior Director, Risk Monitoring – Chicago Office FINRA Member Supervision	
		Lucy Palmieri (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision		Matthew (Matt) Reyburn (Capital Markets) Director, Risk Monitoring – Chicago Office FINRA Member Supervision	
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		Lucy Palmieri (Trading and Execution) Director, Risk Monitoring – New York Office FINRA Member Supervision		Matthew (Matt) Reyburn (Capital Markets) Director, Risk Monitoring – Chicago Office FINRA Member Supervision
12:00 p.m. – 12:00 p.m.	12:00 p.m. – 12:30 p.m.	Patricia Monterosso 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. – 1:30 p.m.	Elizabeth (Liz) Page (Retail) Vice President, Firm Group Risk Monitoring – Boston Office FINRA Member Supervision Annmarie McGarrigle (Retail) Director, Risk Monitoring – Philadelphia Office FINRA Member Supervision	1:15 p.m. – 1:30 p.m.	Elliot Henslovitz (Capital Markets) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision Kathryn Travers (Capital Markets) Director, Risk Monitoring – Boston Office FINRA Member Supervision
	1:30 p.m. – 1:45 p.m.	Elizabeth (Liz) Page (Retail) Vice President, Firm Group Risk Monitoring – Boston Office FINRA Member Supervision Annmarie McGarrigle (Retail) Director, Risk Monitoring – Philadelphia Office FINRA Member Supervision	1:30 p.m. – 1:45 p.m.	Elliot Henslovitz (Capital Markets) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision Kathryn Travers (Capital Markets) Director, Risk Monitoring – Boston Office FINRA Member Supervision
	1:45 p.m. – 2:00 p.m.	Elizabeth (Liz) Page (Retail) Vice President, Firm Group Risk Monitoring – Boston Office FINRA Member Supervision Annmarie McGarrigle (Retail) Director, Risk Monitoring – Philadelphia Office FINRA Member Supervision	1:45 p.m. – 2:00 p.m.	Elliot Henslovitz (Capital Markets) Senior Director, Risk Monitoring – New York Office FINRA Member Supervision Kathryn Travers (Capital Markets) Director, Risk Monitoring – Boston Office FINRA Member Supervision
2:15 p.m. – 3:00 p.m.	2:15 p.m. – 2:30 p.m.	Lance Burkett (Retail) Senior Director, Risk Monitoring – Denver Office FINRA Member Supervision Colleen Diles (Retail) Director, Risk Monitoring – Los Angeles Office FINRA Member Supervision	2:15 p.m. – 2:30 p.m.	Scott Gilbert (Diversified, Carrying and Clearing) Vice President, Firm Group Risk Monitoring – New York Office FINRA Member Supervision Stacie Jungling (Capital Markets) Director, Risk Monitoring – Denver Office FINRA Member Supervision
	2:30 p.m. – 2:45 p.m.	Lance Burkett (Retail) Senior Director, Risk Monitoring – Denver Office FINRA Member Supervision Colleen Diles (Retail) Director, Risk Monitoring – Los Angeles Office FINRA Member Supervision	2:30 p.m. – 2:45 p.m.	Scott Gilbert (Diversified, Carrying and Clearing) Vice President, Firm Group Risk Monitoring – New York Office FINRA Member Supervision Stacie Jungling (Capital Markets) Director, Risk Monitoring – Denver Office FINRA Member Supervision
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