



2020 FINRA Artificial Intelligence Virtual Conference

November 9-10, 2020

FINRA's Virtual Artificial Intelligence (AI) Conference and FinTech Office Hours are scheduled to occur on November 9 and November 10, respectively. The Virtual AI Conference is a half-day live event designed to bring together regulators and industry leaders within the financial industry to discuss the use of AI and related opportunities and challenges.

Agenda | Monday, November 9

12:30 p.m. – 12:40 p.m. EST	Welcome Remarks: Robert Cook
12:40 p.m. – 1:30 p.m. EST	Industry Views on the Current and Future State of Artificial Intelligence (AI)
	<p>This session focuses on the current and future AI applications being explored by the securities industry (considering benefits, challenges and opportunities) and the address related issues and comments on the FINRA AI Whitepaper.</p> <p>Moderator: Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI) Q&A Moderator: Juan Echeverri, FINRA Office of Financial Innovation (OFI)</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Roman Ginis, Imperative Execution Inc. • Melissa MacGregor, Securities Industry and Financial Markets Association (SIFMA) • Mona Vernon, Fidelity Investments
1:30 p.m. – 1:40 p.m. EST	Networking Break
1:40 p.m. – 2:30 p.m. EST	Applications of AI for Surveillance
	<p>This session will explore the ways in which AI is being used to facilitate market surveillance and address the potential benefits for market integrity as well as discuss the challenges associated with the use of AI.</p> <p>Moderator: Susan Tibbs, FINRA Market Regulation Q&A Moderator: Juan Echeverri, FINRA Office of Financial Innovation (OFI)</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Chi-Keung (C.K.) Chow, FINRA Technology • Eren Kurshan, Bank of America • Victoria Pinnington, Investment Industry Regulatory Organization of Canada (IIROC) • Martina Rejsjo, Nasdaq MarketWatch
2:30 p.m. – 2:40 p.m. EST	Networking Break
2:40 p.m. – 3:30 p.m. EST	Regulators Forum on Artificial Intelligence (AI)
	<p>During this session, panelists discuss the work that regulators have undertaken to assess the use of AI in the financial industry and the regulatory considerations associated with potential AI applications.</p> <p>Moderator: Steven (Steve) Polansky, FINRA Member Supervision Q&A Moderator: Juan Echeverri, FINRA Office of Financial Innovation (OFI)</p> <p>Panelists:</p> <ul style="list-style-type: none"> • Lise Estelle Brault, CFA, Autorité des marchés financiers du Québec (AMF) • Melissa Netram, Commodity Futures Trading Commission (CFTC) • Valerie Szczepanik, U.S. Securities and Exchange Commission (SEC)
3:30 p.m. – 3:45 p.m. EST	Closing Remarks: Haimera (Haime) Workie

For more information and to register, please visit www.finra.org/AIconference2020

Featured Speakers



Robert W. Cook—President and Chief Executive Officer, FINRA

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure. Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters. Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.



Valerie A. Szczepanik—U.S. Securities and Exchange Commission (SEC)

Valerie A. Szczepanik is Head of the Strategic Hub for Innovation and Financial Technology at the U.S. Securities and Exchange Commission (SEC). She is also the Senior Advisor for Digital Assets and Innovation and an Associate Director for the SEC's Division of Corporation Finance. Before that, she served as Assistant Director in the Division of Enforcement's Cyber Unit. Ms. Szczepanik served as a Special Assistant United States Attorney at the United States Attorney's Office for the Eastern District of New York. She clerked for federal judges on the United States District Court for the District of Columbia and the United States Court of Appeals for the Federal Circuit and, prior to clerking, practiced patent law. Ms. Szczepanik received her JD from Georgetown University and her Bachelor of Science degree in Engineering from the University of Pennsylvania.



Mona Vernon—Fidelity Investments

Mona M. Vernon is the head of Fidelity Labs, the business incubator at Fidelity Investments, a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing, and other financial products and services to more than 28 million individuals, institutions, and financial intermediaries. Prior to joining Fidelity, Ms. Vernon was the chief technology officer of Thomson Reuters Labs. She founded and scaled the Thomson Reuters network of global innovation labs and oversaw the research and development function, including the Center for Cognitive Computing and blockchain engineering. She also managed the corporate startup investment fund. Ms. Vernon holds both a bachelor of science degree and a master of science degree in mechanical engineering from Tufts University, as well as a master of science in engineering and management from MIT. She is an executive board member of the FinTech Sandbox, a corporate council member at Thayer School of Engineering at Dartmouth College and a committee member for the Continuous Improvement of NASA's Innovation Ecosystem.

For more information and to register, please visit www.finra.org/Alconference2020

Registration

How to Register

To register, visit www.finra.org/AIconference2020 and complete the online registration form using your credit card. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

Conference fees include attendance to all live and recorded sessions and conference materials.

Conference registration is limited and available on a first-come, first-served basis. Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment. **Please note: Access instructions will be sent within 24 hours of the start of this virtual event.**

Cancellation Policy

Cancellations within 48 hours of the virtual event will be subject to a \$25.00 cancellation fee.

Virtual Registration Fees

The following registration types apply to both the AI Conference and FinTech Office Hours:

Individual	
FINRA Member (must provide valid CRD #)	\$100
Non-Member	\$200
Government/Regulator	\$100

Group* (Per Person)	
FINRA Member (must provide valid CRD #)	\$50
Non-Member	\$150

*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®].

Exhibitors

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

- Red Oak Compliance
- RegEd
- Smarsh

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email Jeff.Arcuri@finra.org to request a conference exhibitor package.

For more information and to register, please visit www.finra.org/AIconference2020

Office Hours | Tuesday, November 10, 2020

FINRA Office of Financial Innovation (OFI) FinTech Office Hours

All Office Hour Appointments are Eastern Standard Time (EST)

Office Hours for Broker-Dealer Firms	Office Hours for Vendors and Other Market Participants
Office Hours Block IA: 12:00 p.m. – 12:25 p.m.	Office Hours Block IB: 12:00 p.m. – 12:25 p.m.
Office Hours Block IIA: 12:30 p.m. – 12:55 p.m.	Office Hours Block IIB: 12:30 p.m. – 12:55 p.m.
Office Hours Block IIIA: 1:00 p.m. – 1:25 p.m.	Office Hours Block IIIB: 1:00 p.m. – 1:25 p.m.
Office Hours Block IVA: 1:30 p.m. – 1:55 p.m.	Office Hours Block IVB: 1:30 p.m. – 1:55 p.m.
Office Hours Block VA: 2:00 p.m. – 2:25 p.m.	Office Hours Block VB: 2:00 p.m. – 2:25 p.m.
Networking Break: 2:25 p.m. - 3:00 p.m.	
Office Hours Block VIA: 3:00 p.m. – 3:25 p.m.	Office Hours Block VIB: 3:00 p.m. – 3:25 p.m.
Office Hours Block VIIA: 3:30 p.m. – 3:55 p.m.	Office Hours Block VIIB: 3:30 p.m. – 3:55 p.m.
Office Hours Block VIIIA: 4:00 p.m. – 4:25 p.m.	Office Hours Block VIIIB: 4:00 p.m. – 4:25 p.m.
Office Hours Block IXA: 4:30 p.m. – 4:55 p.m.	Office Hours Block IXB: 4:30 p.m. – 4:55 p.m.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

Press

This event is open to the media.

For more information and to register, please visit www.finra.org/Alconference2020

Speaker List



Lise Estelle Brault
CFA Autorité des marchés
financiers du Québec (AMF)



Chi-Keung (C.K.) Chow
FINRA Technology



Christina Constantine
FINRA Office of Financial
Innovation (OFI)



Robert Cook
FINRA



Juan Echeverri
FINRA Office of Financial
Innovation (OFI)



Roman Ginis
Imperative Execution Inc.



Alex Khachaturian
FINRA Office of Financial
Innovation (OFI)



Eren Kurshan
Bank of America



Melissa MacGregor
Securities Industry and
Financial Markets
Association (SIFMA)



Melissa Netram
Commodity Futures Trading
Commission (CFTC)



Michael Oh
FINRA Office of Financial
Innovation (OFI)



Victoria Pinnington
Investment Industry
Regulatory Organization of
Canada (IIROC)



Steven (Steve) Polansky
FINRA Member Supervision



Raghu Raman
FINRA Technology



Martina Rejsjo
Nasdaq MarketWatch



Valerie Szczepanik
U.S. Securities and
Exchange Commission
(SEC)



Susan Tibbs
FINRA Market Regulation



Richard Vagnoni
FINRA Office of Financial
Innovation (OFI)



Mona Vernon
Fidelity Investments



Haimera (Haime) Workie
FINRA Office of Financial
Innovation (OFI)

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