

2021 FINRA
ANNUAL CONFERENCE



CONNECT

ANYWHERE

This virtual conference provides the opportunity for practitioners, peers and regulators to exchange ideas on timely compliance and regulatory topics. Nowhere else will you find this unique combination of the highest-caliber speakers discussing issues that matter most for the financial services industry.

Tuesday, May 18	<i>All sessions are listed in Eastern Time.</i>
10:00 a.m. – 5:15 p.m.	Visit FINRA and Exhibitor Booths
10:00 a.m. – 10:15 a.m.	▶ Plenary Session I: Welcome Remarks
	Speaker: Kayte Toczylowski, FINRA Member Relations and Education
10:15 a.m. – 3:55 p.m.	Exhibitor Demos and FINRA Staff Office Hours
10:15 a.m. – 10:30 a.m.	▶ Advertising Review: Conquering Challenges and Driving Efficiency (Red Oak Compliance) 📺 <p>The demands placed on compliance teams are increasing, requiring the role of compliance professionals to evolve. To meet these increased demands, your teams will need to be more agile and processes more streamlined. Join us for an information session on how compliance leaders are conquering challenges, driving efficiency, and creating more effective compliance processes through the implementation of technology.</p> Speaker: Stephen Pope, Red Oak Compliance
	Office Hours
	<ul style="list-style-type: none"> • Office Hours With Michael Yuan – Retail Firm Grouping Speaker: Michael Yuan, FINRA Member Supervision • Office Hours With Marc Forte – Diversified Firm Grouping Speaker: Marc Forte, FINRA Member Supervision • Office Hours With Nicole McCafferty – Retail Firm Grouping Speaker: Nicole McCafferty, FINRA Member Supervision
10:30 a.m. – 10:35 a.m.	Break
10:35 a.m. – 10:50 a.m.	▶ Identifying and Mitigating the Risks of Your Remote Workforce (Smarsh) 📺 <p>It's no surprise that the way we collaborate has fundamentally changed over the past year. How can organizations identify and respond to the risks that exist in evolving communications tools like Microsoft Teams, WhatsApp/WeChat, Slack and Zoom? Join our demo as we discuss best practices for mitigating the risks of your remote workforce and ways in which your organization can be proactive when assessing the risks of the future of work.</p> Speakers: Robert Cruz, Smarsh Aaron Nelson, Smarsh



OFFICE HOURS

Office Hours provides 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 issues.



**PRE-RECORDED
SESSIONS**



**LIVE EVENT
SESSIONS**

	<p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Michael Yuan – Retail Firm Grouping Speaker: Michael Yuan, FINRA Member Supervision • Office Hours With Marc Forte – Diversified Firm Grouping Speaker: Marc Forte, FINRA Member Supervision • Office Hours With Nicole McCafferty – Retail Firm Grouping Speaker: Nicole McCafferty, FINRA Member Supervision
10:50 a.m. – 10:55 a.m.	Break
10:55 a.m. – 11:10 a.m.	<p>▶ Proofpoint NexusAI Powering People-Centric Compliance Solutions (Proofpoint) 📺</p> <p>According to research by Enterprise Strategy Group, nearly 30% of organizations report that regulatory compliance assurance is one of the areas that will drive the most technology spending in their organization over the next 12 months. Spending aside, however, how do you assure your organization of regulatory compliance? You need the right processes and policies in place, along with staff that can help you build, execute, maintain and refine your overall compliance plan. And you need the right technology – Proofpoint, the longest running leader in Gartner’s Magic Quadrant for Enterprise Information Archiving, can help. View our demo video, “Proofpoint NexusAI Powering People-Centric Compliance Solutions”, for an overview of how Proofpoint archiving, supervision and e-discovery technology can help you improve regulatory compliance and investigations/litigation readiness.</p> <p>Speaker: Shawn Aquino, Proofpoint</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Michael Yuan – Retail Firm Grouping Speaker: Michael Yuan, FINRA Member Supervision • Office Hours With Marc Forte – Diversified Firm Grouping Speaker: Marc Forte, FINRA Member Supervision • Office Hours With Nicole McCafferty – Retail Firm Grouping Speaker: Nicole McCafferty, FINRA Member Supervision
11:10 a.m. – 11:30 a.m.	Break
11:30 a.m. – 11:45 a.m.	<p>▶ The Benefits of Achieving a Unified Compliance and Credentialing Technology Vision (RegEd) 📺</p> <p>This presentation focuses on the benefits of a unified compliance technology ecosystem and how it can deliver significant efficiencies, stronger compliance oversight and increased user satisfaction, while instilling a culture of compliance.</p> <p>Speaker: Adam Schaub, RegEd</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Patricia Walch – Retail Firm Grouping Speaker: Patricia Walch, FINRA Member Supervision • Office Hours With Kathryn Travers – Capital Markets and Investment Banking Firm Grouping Speaker: Kathryn Travers, FINRA Member Supervision • Office Hours With Lyle King – Trading and Execution Firm Grouping Speaker: Lyle King, FINRA Member Supervision
11:45 a.m. – 11:50 a.m.	Break

11:50 a.m. – 12:05 p.m.	<p>▶ What Does a 360° View of a Financial Professional Really Look Like? Driving a Better Experience With Vertafore and Ameritas (Vertafore) 📺</p> <p>In this session, you learn more about Sircon for Securities Firms. See how it’s specifically designed to help firms overcome the challenges of managing conflicts of interest and other disclosures for their financial professionals. You also get an opportunity to hear directly from one of Vertafore’s top customers about their experiences implementing Sircon products.</p> <p>Speaker: Rebecca Thelen, Vertafore</p> <hr/> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Patricia Walch – Retail Firm Grouping Speaker: Patricia Walch, FINRA Member Supervision • Office Hours With Kathryn Travers – Capital Markets and Investment Banking Firm Grouping Speaker: Kathryn Travers, FINRA Member Supervision • Office Hours With Lyle King – Trading and Execution Firm Grouping Speaker: Lyle King, FINRA Member Supervision
12:05 p.m. – 12:10 p.m.	Break
12:10 p.m. – 12:25 p.m.	<p>▶ An Inside Look at Quest CE’s Compliance Management System (Quest CE) 📺</p> <p>Looking for a simple and cost-effective way to deliver on-demand continuing education, track conflicts of interest, remediate risk identified through your compliance questionnaire(s), host policies and conduct internal branch inspections? Quest CE’s compliance management system, Renaissance, can do all of that and more! The best part is, the solutions we offer are easy to implement, simple to use and can come with the full support of your firm’s own dedicated account executive. Some of the things we cover in this demo include: What users will see when they login to the platform; What functionality your compliance team(s) will have access to; and A crash course on our Branch Audit Tool. Attendees will also be eligible to receive one of our compliance-themed t-shirts!</p> <p>Speakers: Allison Byrne, Quest CE Alexander Drezewiecki, Quest CE Alex Krenke, Quest CE MacKenzie Nold, Quest CE</p> <hr/> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Patricia Walch – Retail Firm Grouping Speaker: Patricia Walch, FINRA Member Supervision • Office Hours With Kathryn Travers – Capital Markets and Investment Banking Firm Grouping Speaker: Kathryn Travers, FINRA Member Supervision • Office Hours With Lyle King – Trading and Execution Firm Grouping Speaker: Lyle King, FINRA Member Supervision
12:25 p.m. – 1:45 p.m.	Break

1:45 p.m. – 2:00 p.m.	<p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Isabel Patel – Diversified Firm Grouping Speaker: Isabel Patel, FINRA Member Supervision • Office Hours With Eric Chandler – Diversified and Carrying & Clearing Firm Grouping Speaker: Eric Chandler, FINRA Member Supervision • Office Hours With Michael MacPherson – Diversified and Carrying & Clearing Firm Grouping Speaker: Michael MacPherson, FINRA Member Supervision
2:00 p.m. – 2:05 p.m.	Break
2:05 p.m. – 2:20 p.m.	<p>▶ Identity Verification and Fraud Detection for Investment Brokers (Socure) 📺</p> <p>In this video, you'll learn how Socure, a leading ID verification and fraud risk solutions provider, and their Co-founder & CEO Johnny Ayers view the importance of identity verification and fraud detection for investment brokerages, emerging trends in the online investing space, the future of digital identity, and more.</p> <p>Speaker: Johnny Ayers, Socure</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Isabel Patel – Diversified Firm Grouping Speaker: Isabel Patel, FINRA Member Supervision • Office Hours With Eric Chandler – Diversified and Carrying & Clearing Firm Grouping Speaker: Eric Chandler, FINRA Member Supervision • Office Hours With Michael MacPherson – Diversified and Carrying & Clearing Firm Grouping Speaker: Michael MacPherson, FINRA Member Supervision
2:20 p.m. – 2:25 p.m.	Break
2:25 p.m. – 2:40 p.m.	<p>▶ Ensuring Gap-Free Compliant Mobile Communications: A Demonstration of Movius MultiLine (Movius Interactive Corporation) 📺</p> <p>Say hello to gap-free communications capture. In this demo, you see the newest innovation in compliant communications. Watch as we walk you through the Movius MultiLine platform and how your business can separate business and personal communications (voice, text and WhatsApp messaging) inside one platform, that can be recorded and archived for compliant purposes. BYOD? Corporate Owned Devices? PBX? Multiple carriers? Doesn't matter with the MultiLine solution.</p> <p>Speakers: Jean Cameron, Movius Interactive Corporation Tara Panu, Movius Interactive Corporation</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With Isabel Patel – Diversified Firm Grouping Speaker: Isabel Patel, FINRA Member Supervision • Office Hours With Eric Chandler – Diversified and Carrying & Clearing Firm Grouping Speaker: Eric Chandler, FINRA Member Supervision • Office Hours With Michael MacPherson – Diversified and Carrying & Clearing Firm Grouping Speaker: Michael MacPherson, FINRA Member Supervision
2:40 p.m. – 3:00 p.m.	Break

3:00 p.m. – 3:15 p.m.	<p>► Redefining Compliance in a Dynamic Regulatory Environment 📺</p> <p>As the global workforce slowly returns to what we considered as normal, meetings and communications will be forever changed. The drive and reliance to use mobile applications and other collaboration tools such as MS Teams, Zoom, Slack and others can be costly and complex for technical teams in financial services and has already led to new compliance regulations and further fragmentation of communications. New communication vehicles have only expanded overall message volume and complicated review and compliance. Organizations need to enhance their data governance practices countering these changes. Join Veritas to discuss strategies to address the post-COVID world.</p> <p>Speakers: David Scott, Veritas Victor Villegas, Veritas</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With AnnMarie McGarrigle – Retail Firm Grouping Speaker: AnnMarie McGarrigle, FINRA Member Supervision • Office Hours With Pina Patel – Trading and Execution Firm Grouping Speaker: Pina Patel, FINRA Member Supervision • Office Hours With Syed Bukhari – Capital Markets Firm Grouping Speaker: Syed Bukhari, FINRA Member Supervision
3:15 p.m. – 3:20 p.m.	Break
3:20 p.m. – 3:35 p.m.	<p>► RightBRIDGE: Best Interest Product Validation and Rollover Analysis (CapitalROCK) 📺</p> <p>See a high-level system demo of the RightBRIDGE for Reg BI Product Suite. The Product Profiler provides account type or product category best interest validation as well as rollover analysis. The RightBRIDGE Wizard products perform side by side analysis of annuities, mutual funds and ETFs. Each system automatically provides Reasonably Available Alternatives and includes client and product specific ReasonText™ to explain the results of the best interest analysis.</p> <p>Speaker: Connor Thomas CFP®, CSCP®, CapitalROCK</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With AnnMarie McGarrigle – Retail Firm Grouping Speaker: AnnMarie McGarrigle, FINRA Member Supervision • Office Hours With Pina Patel – Trading and Execution Firm Grouping Speaker: Pina Patel, FINRA Member Supervision • Office Hours With Syed Bukhari – Capital Markets Firm Grouping Speaker: Syed Bukhari, FINRA Member Supervision
3:35 p.m. – 3:40 p.m.	Break

3:40 p.m. – 3:55 p.m.	<p>▶ J&J's ECS – A Bundled Solution for Trade Surveillance and Regulatory Reporting (Jordan & Jordan) 📺</p> <p>In this session, hear about Jordan & Jordan's Compliance practice including consulting, testing and assessment services and see a demonstration of the firm's online platform for equity surveillance and regulatory reporting. Jordan & Jordan's ECS service runs in the Amazon cloud and provides post trade surveillance exceptions covering best execution, short sales, order marking, spoofing/layering, wash sales and marking the close, among others. Jordan & Jordan is also an approved CAT Reporting Agent for the reporting of CAT transactions as well as customer and account information (CAIS). ECS provides one platform for the review of your CAT reportable transactions as well as the correction of any rejections. We also provide the order routing reports and disclosures required by SEC Rule 606. Our technical solution is complemented and supported by a staff of industry seasoned experts who have extensive backgrounds in surveillance, testing and regulatory reporting. Our services can be tailored to the specific needs of your firm. Contact us today to see how we can help strengthen your Compliance program.</p> <p>Speaker: Chris Montagnino, Jordan & Jordan</p> <p>Office Hours</p> <ul style="list-style-type: none"> • Office Hours With AnnMarie McGarrigle – Retail Firm Grouping Speaker: AnnMarie McGarrigle, FINRA Member Supervision • Office Hours With Pina Patel – Trading and Execution Firm Grouping Speaker: Pina Patel, FINRA Member Supervision • Office Hours With Syed Bukhari – Capital Markets Firm Grouping Speaker: Syed Bukhari, FINRA Member Supervision
3:55 p.m. – 4:15 p.m.	Break
4:15 p.m. – 5:10 p.m.	<p>▶ Plenary Session II: Keynote Address: A Conversation With Henry Winkler</p> <p>Emmy Award-Winning Actor, Director, Producer, and Best-Selling Author, Henry Winkler discusses his personal life, his career and how he has overcome obstacles. Through humorous anecdotes and inspirational life lessons about overcoming adversity to his storied career in television and entertainment, audiences always leave Henry's presentations inspired and entertained.</p> <p>Speakers: Kayte Toczylowski, FINRA Member Relations and Education Henry Winkler, Keynote Speaker</p>
5:10 p.m. – 5:15 p.m.	▶ Plenary Session III: Closing Remarks
	Speaker: Kayte Toczylowski, FINRA Member Relations and Education



CONTINUING EDUCATION (CE) CREDITS

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

Wednesday, May 19	
10:00 a.m. – 5:50 p.m.	Visit FINRA and Exhibitor Booths
10:00 a.m. – 10:05 a.m.	▶ Plenary IV: Welcome Remarks
	Speaker: Kayte Toczylowski, FINRA Member Relations and Education
10:05 a.m. – 11:00 a.m.	Concurrent Session I
	▶ Concurrent Session IA: FINRA’s Examination and Risk Monitoring Program <p>During this session, FINRA staff discuss the firm grouping structure and lessons learned during implementation. Panelists share what firms can expect going forward.</p> <p>Moderator: Scott Gilbert, FINRA Member Supervision Panelists: Demetrios (J) Koutros, FINRA Member Supervision Yolanda Trottman-Adewumi, FINRA Member Supervision Erin Vocke, FINRA Member Supervision</p>
	▶ Concurrent Session IB: Doing More With Less: Challenges of a Small Firm Compliance Department 📺 <p>A strong compliance program does not have to be expensive to be effective but needs commitment from all levels. Join FINRA staff and industry practitioners for a discussion on mitigating regulatory risks and determining how to more effectively allocate resources when establishing and maintaining an effective compliance program at a small firm.</p> <p>Moderator: Elizabeth (Liz) Page, FINRA Member Supervision Panelists: Bob Chung, Arete Wealth John Hickey, FINRA Member Supervision Danielle Williams, Coordinated Capital Securities, Inc.</p>
11:00 a.m. – 11:15 a.m.	Break
11:15 a.m. – 12:15 p.m.	Concurrent Session II
	▶ Concurrent Session IIA: Fraud Detection and Prevention <p>This session focuses on recent or noteworthy fraud trends impacting the financial services industry. Panelists highlight emerging trends in financial frauds related to the brokerage industry, provide tips to identify potential “red flags,” and discuss what to do if a fraudulent scheme is suspected.</p> <p>Moderator: Greg Ruppert, FINRA Member Supervision Panelists: Lisa DeVos, Charles Schwab & Co., Inc. Siddhartha (Sid) Patel, Federal Bureau of Investigations (FBI) Craig Timm, Bank of America</p>

	<p>▶ Concurrent Session IIB: Market Regulation Priorities 🗣️</p> <p>This session provides updates on market regulation priorities, including current initiatives and rulemaking. FINRA panelists share thoughts on equities, options, and fixed income compliance programs.</p> <p>Moderator: Stephanie Dumont, FINRA Market Regulation and Transparency Services</p> <p>Panelists: Gene DeMaio, FINRA Market Regulation Jon Kroeper, FINRA Market Regulation Timothy (Tim) Thompson, FINRA Market Regulation</p>
12:15 p.m. – 1:00 p.m.	Break
1:00 p.m. – 2:00 p.m.	Concurrent Session III
	<p>▶ Concurrent Session IIIA: Remote Supervision: Compliance Challenges in a Remote Working World</p> <p>The COVID-19 pandemic significantly affected firms’ day-to-day operations across the securities industry, including requiring firms to transition most or all staff to remote work environments and implement remote supervisory practices. Join FINRA staff and industry panelists as they discuss challenges firms face with staff working from home during the COVID-19 pandemic. Panelists also share what they have learned from these events and how they have improved their Business Continuity Plans (BCP) plans.</p> <p>Moderator: Thomas (Tom) Mellett, FINRA Member Supervision</p> <p>Panelists: Colleen Diles, FINRA Member Supervision Scott Murray, Wells Fargo Advisors Jessica Pastorino, M&A Securities Group, Inc.</p> <p>▶ Concurrent Session IIIB: Gamification, Social Media, and Digital Communications Perspectives 🗣️</p> <p>Attend this session to hear how regulatory experts are evaluating the rapidly changing world of digital communications to capture investors’ attention and influence their behavior. The panel discusses risks and benefits of gamification features on broker-dealers’ apps and websites, and also considers the effects of digital marketing, notifications and alerts, and the increased impact of social media during the pandemic and beyond.</p> <p>Moderator: Amy Sochard, FINRA Advertising Regulation</p> <p>Panelists: Steven (Steve) Price, FINRA Member Supervision John Sazegar, FINRA Member Supervision Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p>
2:00 p.m. – 2:15 p.m.	Break

2:15 p.m. – 3:15 p.m.	<p>▶ Plenary Session V: Ask FINRA Senior Staff</p>
	<p>During this session, FINRA senior staff provide an update on key regulatory issues. Panelists address questions relating to FINRA’s risk-based examination program, disciplinary actions, market regulation programs, and new and anticipated rules, among other things.</p> <p>Moderator: Kayte Toczylowski, FINRA Member Relations and Education</p> <p>Panelists: Bob Colby, FINRA Chief Legal Office Stephanie Dumont, FINRA Market Regulation and Transparency Services Bari Havlik, FINRA Member Supervision Jessica Hopper, FINRA Enforcement Greg Ruppert, FINRA Member Supervision</p>
3:15 p.m. – 3:30 p.m.	Break
3:30 p.m. – 4:30 p.m.	<p>▶ Plenary Session VI: Diversity and Inclusion</p>
	<p>As the focus on diversity and inclusion in the financial services industry increases, it is important that employers attract, develop and retain the best talent of all backgrounds. This session aims to increase the awareness of diversity and inclusion and explains how to promote and maintain a diverse and inclusive culture within our firms or industry. Hear from Kimberlé W. Crenshaw, a pioneering scholar and writer, whose work has been foundational in “intersectionality.”</p> <p>Hosted By: Robert Cook, FINRA</p> <p>Speakers: Kimberlé W. Crenshaw, Keynote Speaker Audria Pendergrass Lee, FINRA Human Resources</p>
4:30 p.m. – 4:45 p.m.	Break
4:45 p.m. – 5:45 p.m.	<p>▶ Plenary Session VII: Compliance and Legal Trends</p>
	<p>Join industry leaders as they discuss trends, key focus areas and strategies that are shaping the industry. Panelists share insights on how these changes will affect compliance, and how firms are evolving and responding to business, regulatory and technology issues.</p> <p>Moderator: Bob Colby, FINRA Chief Legal Office</p> <p>Panelists: Evan Charkes, Bank of America Ilene Marquardt, Wells Fargo Advisors Linde Murphy, M.E. Allison & Co., Inc. Hillary Sale, Georgetown University Law Center and FINRA Public Governor</p>
5:45 p.m. – 5:50 p.m.	<p>▶ Plenary Session VIII: Closing Remarks</p>
	<p>Speaker: Kayte Toczylowski, FINRA Member Relations and Education</p>

Thursday, May 20	
10:00 a.m. – 4:35 p.m.	Visit FINRA and Exhibitor Booths
10:00 a.m. – 10:05 a.m.	▶ Plenary Session IX: Welcome Remarks
	Speaker: Kayte Toczylowski, FINRA Member Relations and Education
10:05 a.m. – 10:30 a.m.	▶ Plenary Session X: Fireside Chat With Robert Cook and Eileen Murray
	Join FINRA president and Chief Executive Officer Robert Cook and FINRA Chairperson Eileen Murray for a conversation on their perspectives on the state of the industry, future challenges, and the Board's priorities. Speakers: Robert Cook, FINRA Eileen Murray, Chairperson and FINRA Public Governor
10:30 a.m. – 10:45 a.m.	Break
10:45 a.m. – 11:45 a.m.	▶ Plenary Session XI: Demystifying the FINRA Board
	During this session, panelists discuss their responsibilities, how they interact with FINRA, their priorities and a candid conversation on what happens at a Board meeting. Moderator: Marcia Asquith, FINRA Board and External Relations Panelists: Christopher (Chris) Flint, Farmers Financial Solutions LLC Wendy Lanton, Herold & Lantern Investments, Inc. Ethiopsis Tafara, World Bank Group
11:45 a.m. – 1:15 p.m.	Break
1:15 p.m. – 2:15 p.m.	Concurrent Session IV
	▶ Concurrent Session IVA: Enforcement Developments This session provides an overview of new developments and trends in Enforcement, including Enforcement priorities. Panelists discuss how a matter finds its way to Enforcement and what happens while in Enforcement. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities and provide a view into the process. Panelists also provide guidance on regulatory and compliance practices. Moderator: Jessica Hopper, FINRA Enforcement Panelists: Terrence (Terry) Bohan, FINRA Enforcement Christopher (Chris) Kelly, FINRA Enforcement Lara Thyagarajan, FINRA Enforcement

	<p>▶ Concurrent Session IVB: DXT: Digital Experience Transformation With Firms 🗣️</p> <p>FINRA is in the middle of a wide-ranging, multi-year effort to revolutionize the digital experience that firms have when interacting with FINRA. The Digital Experience Transformation (DXT) is a transformation driven by firms for firms. The initiative is focusing on six solution areas that have been identified as priorities by FINRA member firms, including a simplified user experience and flexibility and automation when it comes to access to FINRA data. During this session, hear about upcoming changes to Firm Gateway, Reporting, and Request Manager and exciting advances in technology on FINRA Gateway’s multiyear roadmap. FINRA staff and industry panelists share what they have learned through significant industry outreach, firms’ experience as they have adopted these changes how they are saving time and money with FINRA Gateway. Be a part of the conversation of how FINRA is listening and advancing technology with you.</p> <p>Moderator: Joanne Hetzel, FINRA Technology Panelists: April Gaskin, Commonwealth Financial Network Julia McCafferty, FINRA Technology Jennifer Szaro, CRCP®, XML Securities, LLC</p>
2:15 p.m. – 2:30 p.m.	Break
2:30 p.m. – 3:30 p.m.	Concurrent Session V
	<p>▶ Concurrent Session VA: Regulation Best Interest and Form CRS: Recent Observations and What to Expect</p> <p>Join FINRA and SEC staff as they discuss important requirements under the rules, exam approaches and observations about how firms are complying with the rules.</p> <p>Moderator: James (Jim) Wrona, FINRA Office of General Counsel Panelists: Peter (Pete) Driscoll, U.S. Securities and Exchange Commission (SEC) Emily Westerberg Russell, U.S. Securities and Exchange Commission (SEC) William (Bill) St. Louis, FINRA Member Supervision</p>
	<p>▶ Concurrent Session VB: Consolidated Audit Trail (CAT) 🗣️</p> <p>During this session, panelists discuss how to prepare for compliance with the upcoming phases of the Consolidated Audit Trail (CAT), including, firm obligations, deadlines, and resources. The panel also provides an update on FINRA’s CAT reporting compliance program.</p> <p>Moderator: Jon Kroeper, FINRA Market Regulation Panelists: Shelly Bohlin, FINRA CAT, LLC Dave Chapman, FINRA Market Regulation Timothy (Tim) Thompson, FINRA Market Regulation</p>
3:30 p.m. – 3:45 p.m.	Break
3:45 p.m. – 4:00 p.m.	▶ Plenary Session XII: Changing Firms Digital Experience 🗣️
	<p>FINRA has created a culture of innovation and is an industry leader in the use of its technology tools and resources. Join FINRA’s Executive Vice President and Chief Information Officer Steve Randich as he speaks to FINRA’s mission to change the digital experience for our member firms. During the session, learn about innovative ways we are partnering with the industry to provide the best possible service.</p> <p>Speaker: Steve Randich, FINRA Technology</p>

4:00 p.m. – 4:30 p.m.	<p>▶ Plenary Session XIII: A Conversation With The Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC).</p>
	<p>Moderator: Robert Cook, FINRA</p> <p>Panelists: The Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC)</p> <p>Join FINRA President and CEO Robert Cook and The Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC) for a conversation about industry topics impacting the markets and the financial services industry.</p>
4:30 p.m. – 4:35 p.m.	<p>▶ Plenary Session XIV Closing Remarks</p>
	<p>Speaker: Kayte Toczylowski, FINRA Member Relations and Education</p>
4:35 p.m.	<p>Conference Adjourns</p>



Robert W. Cook

FINRA President and CEO

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.



Kimberlé Crenshaw

Co-founder and Executive Director of the African American Policy Forum and the founder and Executive Director of the Center for Intersectionality and Social Policy Studies at Columbia Law School

Kimberlé W. Crenshaw is a pioneering scholar and writer on civil rights, critical race theory, Black feminist legal theory, and race, racism and the law. In addition to her position at Columbia Law School, she is a Distinguished Professor of Law at the University of California, Los Angeles.

Crenshaw's work has been foundational in critical race theory and in "intersectionality," a term she coined to describe the double bind of simultaneous racial and gender prejudice. Her studies, writing, and activism have identified key issues in the perpetuation of inequality, including the "school to prison pipeline" for African American children and the criminalization of behavior among Black teenage girls. Through the African American Policy Forum (AAPF), which she co-founded, Crenshaw launched the #SayHerName Campaign in 2014 to call attention to police violence against Black women and girls. A year later, in 2015, she co-authored (with Andrea Ritchie) *Say Her Name: Resisting Police Brutality Against Black Women*, which documented and drew attention to the killing of Black women and girls by police.

Crenshaw is a sought-after speaker and conducts workshops and trainings. She is also the co-author of *Black Girls Matter: Pushed Out, Overpoliced, and Underprotected*. Her writing has appeared in the *Harvard Law Review*, the *National Black Law Journal*, the *Stanford Law Review*, and the *Southern California Law*

Featured Speakers

Review. She is a founding coordinator of the Critical Race Theory workshop and co-editor of *Critical Race Theory: Key Documents That Shaped the Movement*. In 1981, she assisted on the legal team of Anita Hill during her testimony at the confirmation hearing of Supreme Court Justice Clarence Thomas.

Crenshaw has written regularly for *The New Republic*, *The Nation*, and *Ms.* and provides commentary for media outlets, including *MSNBC* and *NPR*, and hosts the podcast *Intersectionality Matters!* In addition to frequent speaking engagements, training sessions, and town halls, Crenshaw has facilitated workshops for human rights activists in Brazil and in India and for constitutional court judges in South Africa. She serves on the Committee on Law and Justice of the National Academies of Science.

Crenshaw's groundbreaking work on intersectionality was influential in the drafting of the equality clause in the South African Constitution. She authored the background paper on race and gender discrimination for the United Nations' World Conference on Racism in 2001, served as the rapporteur for the conference's expert group on gender and race discrimination, and coordinated NGO efforts to ensure the inclusion of gender in the WCAR Conference Declaration.

Henry Winkler

Emmy Award-Winning Actor, Director, Producer, and Best-Selling Author



Henry Winkler co-stars as acting teacher Gene Cousineau on the hit HBO dark comedy *Barry*, along-side Bill Hader. The role garnered him an Emmy Award for Best Supporting Actor in a Comedy in September 2018. The series concluded its second season in March 2019, and will return for a third in 2020.

Winkler has enjoyed over four decades of success in Hollywood and continues to be in demand as an actor, producer and director.

A 1973 audition in Los Angeles forever changed the life of the Yale School of Drama graduate when producer Garry Marshall and Tom Miller cast Winkler in the iconic role of Arthur Fonzarelli, aka "The Fonz," in the TV series *Happy Days*. During his 10 years on the popular sitcom, he won two Golden Globe Awards, was nominated three times for an Emmy Award and was also honored with a star on the Hollywood Walk of Fame. Both Fonzie's famous leather jacket and his lunch box have resided in the Smithsonian Institute since 1980.

In recent years, Winkler appeared in a number of series, including *Arrested Development*, *Children's Hospital*, *Royal Pains*, *New Girl* and *Parks and Recreation*. He also starred and co-executive produced the NBC Reality travel series *Better Late Than Never* with William Shatner, Terry Bradshaw, George Foreman and Jeff Dye and is an executive producer of the new *MacGyver* series currently airing its second season on CBS.

His guest role in the ABC series *The Practice* earned him an Emmy Award nomination and he also starred in the CBS sitcom *Out of Practice*. His guest-star roles have included *Numb3rs*, *The Bob Newhart Show*, *Third Watch*, *Crossing Jordan* and *Law and Order: SVU*, and the Hallmark Channel holiday movie *The Most Wonderful Time of the Year*. He has lent his voice to such shows as *All Hail King Julien* on Netflix, *South Park*, *King of the Hill*, *Family Guy*, *The Simpsons* and *Clifford: The Puppy Years*, for which he received a Daytime Emmy Award.

Featured Speakers

On the big screen, Winkler starred in *Night Shift*, *Here Comes the Boom*, *The Waterboy*, *Click*, *The Lords of Flatbush*, *Heroes*, *Holes*, and *Scream*.

Behind the scenes he has also made his mark as a producer and director. Winkler has executive produced or produced TV series and specials for 19 years, including *MacGyver*, *So Weird*, *Mr. Sunshine*, *Sightings*, *A Family Again*, *All Kids Do It*, (which won him a Daytime Emmy Award), *Ryan's Four*, *Scandal Sheet*, and the ABC documentary *Who Are the DeBolts and Where Did They Get 19 Kids?*, which won the prestigious Humanitas Prize.

He also directed several movies, including *Memories of Me*, starring Billy Crystal and the late Alan King and *Cop and a Half*, starring the late Burt Reynolds. On stage, Winkler has appeared on Broadway in *Neil Simon's The Dinner Party* (with the late John Ritter) and *The Performers*.

Winkler has always been concerned about the quality of children's television programming. He has produced countless worthwhile projects for young audiences, including *Happily Ever After* for PBS and its sequel, *Two Daddies to Love Me*. Additional specials include *Run, Don't Walk*, and *All the Kids Do It*, which was about teenage drunk driving which he also directed.

Winkler is also a New York Times best-selling author. His first book, *Niagara Falls, or Does It? Hank Zipzer the World's Greatest Under-Achiever*, became a bestseller. The books were inspired by Winkler's struggle throughout his education due to his learning challenges.

To date, he and his co-author, Lin Oliver, have written 34 children's novels. All the books are sold in bookstores and online across the United States and have been published around the world in seven languages, with more than 4 million copies sold. In Fall 2019, he and Oliver debuted *Alien Superstar*, the first book in a brand-new middle-grade series.

Winkler has always believed in helping others and is especially passionate about children. He has been a featured speaker at WE Day Celebrations promoting education and service for students. His work also includes Honorary Chairman of United Friends of the Children; Founding Member of the Children's Action Network; the first National Honorary Chairman of the Epilepsy Foundation of America; National Chairman of the annual Toys for Tots campaign; the National Committee for Arts for the Handicapped; the Special Olympics; and the Los Angeles Music Center's Very Special Arts Festival for children who are physically challenged; as well as participating in numerous teenage alcohol and drug abuse programs.

He has received a number of accolades from a variety of prestigious organizations, including B'nai B'rith, Peace Prize by the United Nations and Women in Film's Norma Zarky Humanitarian Award, presented to both Henry and his wife, Stacey, for their tireless efforts and devotion to the "improve-ment of the human condition."

He also received the Chevallier de l'Ordre des Artes et Lettres, the French government's highest honor. In addition, Winkler was one of 10 individuals honored by AARP with their 2010 Inspire Award. In 2011 he was awarded the Honorary Officer of the Most Excellent Order of the British Empire (OBE) from the Queen of England in recognition of his services to children with dyslexia and special education needs.

Of all the titles he has received, the ones he relishes most are husband, father and grandfather. Winkler and his wife have three children, Jed, Zoe and Max, and five grandchildren. They reside in Los Angeles.

Name	Company
Patricia Albrecht	FINRA Member Relations and Education
Katie Andrews	FINRA Market Regulation
James (Jim) Angel	McDonough School of Business, Georgetown University
Shawn Aquino	Proofpoint
Aaron Archer	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Marcia Asquith	FINRA Board and External Relations
Johnny Ayers	Socure
Arthur (Art) Baumgartner	FINRA Dispute Resolution Services
Ornella Bergeron	FINRA Member Supervision
Terrence (Terry) Bohan	FINRA Enforcement
Shelly Bohlin	FINRA CAT, LLC
Syed Bukhari	FINRA Member Supervision
Lance Burkett	FINRA Member Supervision
Allison Byrne	QuestCE
Craig Caban	FINRA Member Supervision
Jean Cameron	Movius Interactive Corporation
William (Bill) Cassidy	FINRA Dispute Resolution Services
Melanie Chan	FINRA Member Supervision
Eric Chandler	FINRA Member Supervision
Dave Chapman	FINRA Market Regulation
Evan Charkes	Bank of America
Bob Chung	Arete Wealth
Robert (Bob) Colby	FINRA Chief Legal Office
Robert Cook	FINRA
Kimberlé W. Crenshaw	Keynote Speaker
Robert Cruz	Smarsh
Shelly Davis	FINRA Member Supervision
Gene DeMaio	FINRA Market Regulation
Lisa DeVos	Charles Schwab & Co., Inc.
Colleen Diles	FINRA Member Supervision
Christal Dolly	FINRA Dispute Resolution Services
Alexander Drezewiecki	QuestCE
Peter (Pete) Driscoll	U.S. Securities and Exchange Commission (SEC)
Stephanie Dumont	FINRA Market Regulation and Transparency Services
John Edmonds	FINRA Member Supervision

Speakers

Name	Company
Noah Egorin	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Christopher (Chris) Flint	Farmers Financial Solutions LLC
Marc Forte	FINRA Member Supervision
Felicia Fox	FINRA Dispute Resolution Services
April Gaskin	Commonwealth Financial Network
Michael (Mike) Gerena	FINRA Member Supervision
Scott Gilbert	FINRA Member Supervision
Susanne Goldsmith	FINRA Member Relations and Education
Ahnuf Hasan	FINRA Technology
Bari Havlik	FINRA Member Supervision
Joanne Hetzel	FINRA Technology
John Hickey	FINRA Member Supervision
Julie Hoffman	FINRA Member Relations and Education
Jessica Hopper	FINRA Enforcement
Debra Jastredowski	FINRA Member Supervision
Clinton (Clint) Johnson	FINRA Member Supervision
David (Dave) Kelley	FINRA Member Supervision
Christopher (Chris) Kelly	FINRA Enforcement
John Kines	FINRA Technology
Lyle King	FINRA Member Supervision
Demetrios (J) Koutros	FINRA Member Supervision
Brian Kowalski	FINRA Member Supervision
Alex Krenke	QuestCE
Jon Kroeper	FINRA Market Regulation
Wendy Lanton	Herold & Lantern Investments, Inc.
Carissa Laughlin	FINRA Dispute Resolution Services
Trinity Lee	Heim-Young & Associates, Inc.
Mathieu (Matt) Lefevre	FINRA Member Relations and Education
Nicole Lefort	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Chrystal Loyer	FINRA Dispute Resolution Services
Michael (Mike) MacPherson	FINRA Member Supervision
Ravishankar (Ravi) Madduri	FINRA Technology
Kathleen (Kat) Markelonis	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Gregory (Greg) Markovich	FINRA Member Supervision

Speakers

Name	Company
Ilene Marquardt	Wells Fargo Advisors
John Martino	FINRA Member Supervision
Elizabeth Mauro	FINRA Member Supervision
Nicole McCafferty	FINRA Member Supervision
Julia McCafferty	FINRA Technology
AnnMarie McGarrigle	FINRA Member Supervision
Thomas (Tom) Mellett	FINRA Member Supervision
Chris Montagnino	Jordan & Jordan
Patricia Monterosso	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Kyle Morse	FINRA Market Regulation
Elizabeth (Liz) Muldoon	FINRA Dispute Resolution Services
Linde Murphy	M.E. Allison & Co., Inc.
Scott Murray	Wells Fargo Advisors
Eileen Murray	Chairperson and FINRA Public Governor
Thomas (Tom) Nelli	FINRA Member Supervision
Aaron Nelson	Smarsh
David Newson	FINRA Dispute Resolution Services
MacKenzie Nold	QuestCE
Nwamaka (Amaka) Omenka	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Elizabeth (Liz) Page	FINRA Member Supervision
Tara Panu	Movius Interactive Corporation
Jessica Pastorino	M&A Securities Group, Inc.
Isabel Patel	FINRA Member Supervision
Pina Patel	FINRA Member Supervision
Siddhartha (Sid) Patel	Federal Bureau of Investigations (FBI)
Audria Pendergrass Lee	FINRA Human Resources
Eric Pickersgill	FINRA Technology
Jennifer Piorko Mitchell	FINRA Board and External Relations
Stephen Pope	Red Oak Compliance
Steven (Steve) Price	FINRA Member Supervision
Steve Randich	FINRA Technology
Gina Rettagliata	FINRA Member Supervision
Narielle Robinson	FINRA Dispute Resolution Services
Sandi Ronston	FINRA Technology

Speakers

Name	Company
Rachel Rudowich	FINRA Market Regulation
Greg Ruppert	FINRA Member Supervision
Emily Westerberg Russell	U.S. Securities and Exchange Commission (SEC)
Micheal Sabag	FINRA Market Regulation
Hillary Sale	Georgetown University Law Center and FINRA Public Governor
John Sazegar	FINRA Member Supervision
Adam Schaub	RegEd
David Scott	Veritas
Shailee Seddiq	FINRA Corporate Communications
Joseph (Joe) Sheirer	FINRA Member Supervision
Amy Sochard	FINRA Advertising Regulation
William (Bill) St. Louis	FINRA Member Supervision
Peter (Pete) Stoehr	FINRA Market Regulation
Robert (Rob) Sulik	FINRA Member Supervision
Kelly Swanstrom	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Jennifer Szaro, CRCP®	XML Securities, LLC
Ethiopsis Tafara	World Bank Group
Irmina Tan	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Rebecca Thelen	Vertafore
Connor Thomas CFP®, CSCP®	CapitalROCK
Timothy (Tim) Thompson	FINRA Market Regulation
Lara Thyagarajan	FINRA Enforcement
Craig Timm	Bank of America
Kayte Toczylowski	FINRA Member Relations and Education
Patrick (Pat) Tominey	FINRA Market Regulation
Alexandra (Lex) Toton	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Kathryn Travers	FINRA Member Supervision
Yolanda Trottman-Adewumi	FINRA Member Supervision
Laura Trotz	FINRA Member Supervision
John Veator	FINRA Member Relations and Education
Victor Villegas	Veritas
Erin Vocke	FINRA Member Supervision
Patricia Walch	FINRA Member Supervision

Speakers

Name	Company
Thomas (Tom) Weaverling	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Mara Weinstein	FINRA Dispute Resolution Services
Danielle Williams	Coordinated Capital Securities, Inc.
Henry Winkler	Keynote Speaker
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)
James (Jim) Wrona	FINRA Office of General Counsel
Michael Yuan	FINRA Member Supervision

FINRA Demo Booths

Continuing Education Transformation/Securities Industry Essentials Exam

Hear about ongoing developments of the Continuing Education (CE) Transformation, current Securities Industry Essentials (SIE) Exam success and performance, and FINRA's 2021 Academic Outreach activities. The CE Transformation initiative will introduce streamlined educational opportunities connecting regulatory and firm training programs more effectively through an enhanced content catalog, also known as CE marketplace. In addition, visitors can inquire about existing qualification exams and future plans for principal-level exam restructuring.

Self-Compliance Tools and Transparency Services

Learn more about the upcoming Report Center modernization and Transparency tools available to assist firms with their trade reporting compliance requirements.

Cybersecurity Resources for Firms

Hear directly from FINRA cybersecurity experts, who will provide insight into FINRA's cybersecurity exam program and discuss any cybersecurity questions you may have. Learn more about the cyber risks firms have identified and the controls we have seen firms implement to secure their confidential customer and firm data, and take home ideas to improve your firm's cybersecurity posture.

Dispute Resolution Services

Meet the FINRA Dispute Resolution Services staff to learn more about the FINRA arbitration and mediation programs. FINRA Dispute Resolution Services administers a dispute resolution forum for investors, brokerage firms, and their registered employees. Stop by with questions about case processing, arbitrators and mediators, the online DR Portal, and other helpful resources.

FINRA Gateway, eFOCUS, FinPro and Other Systems

FINRA continues to roll out enhancements to FINRA Gateway, FinPro and other systems in an effort to improve and simplify compliance processes. Stop by the booth to meet with FINRA's Technology; Member Supervision; and Credentialing, Registration, Education and Disclosure (CRED) teams to discuss how you can use these tools to keep up with a variety of financial, operational, and registration compliance work. Information about upcoming CRD training offerings and support materials will also be available.

While visiting the booth, schedule time with FINRA staff to discuss one-on-one how you can take advantage of these systems. You can also register to attend future outreach sessions to provide feedback and learn more about upcoming changes.

Conference Exhibitors

Conference exhibitors showcase a wide range of products and services for broker-dealer firms. Learn more and connect with exhibitors at the Annual Conference.

GOLD LEVEL

- CapitalROCK
- Jordan & Jordan
- Movius Interactive Corporation
- Proofpoint
- Quest CE
- Red Oak Compliance Solutions
- RegEd
- Smarsh
- Socure
- Veritas
- Vertafore

BASIC LEVEL

- ACA Compliance
- Artisan Software, Inc
- Bates Group
- Elinphant LLC
- Foreside
- Hearsay Systems
- Iron Mountain Intellectual Property Management, Inc.
- Kaplan Financial
- Micro Focus
- Mimecast
- MyComplianceOffice Inc
- n-Tier Financial Services, LLC
- SiteQuest
- Solomon Exam Prep
- STC
- Sterling