



# FINRA Firm Grouping Member Forum: **Diversified and Carrying & Clearing**

**July 13, 2021**

FINRA Firm Grouping Member Forums are one-day free events designed to provide financial professionals associated with FINRA member firms the opportunity to engage in key discussions with FINRA staff and connect with industry leaders and peers. The forums also include thoughtful discussions around the future landscape of the financial services industry and provides opportunities to meet one-on-one with FINRA Risk Monitoring Analysts, Directors, and Single Points of Accountability (SPoA) to discuss firm-specific questions.

# Agenda

Tuesday, July 13

All times are listed in Eastern Time

10:00 a.m. – 10:05 a.m.	Welcome and Opening Remarks: Ornella Bergeron, FINRA Member Supervision
10:05 a.m. – 11:00 a.m.	<p>▶ Digital Assets and Initial Coin Offerings</p> <p>Join FINRA staff, regulators, and industry experts in session as they discuss the rapidly evolving developments in the areas of initial coin offerings and digital assets, and related market and regulatory challenges.</p> <p><b>Moderator:</b> Matthew (Matt) Reyburn, FINRA Member Supervision</p> <p><b>Panelists:</b> Neelanjan (Neel) Maitra, U.S. Securities and Exchange Commission (SEC)            Stephen Prosperi, The Depository Trust &amp; Clearing Corporation (DTCC)            Alissa (Lisa) Robinson, FINRA Member Supervision            Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p>
11:00 a.m. – 11:15 a.m.	Break
11:15 a.m. – 12:15 p.m.	<p>▶ Vendor Management</p> <p>During this session panelists will discuss finding a technical solution that is a good fit for your firm, tips on performing an efficient due diligence review, contract issues and advice on implementing the new software.</p> <p><b>Moderator:</b> David (Dave) Kelley, FINRA Member Supervision</p> <p><b>Panelists:</b> Gregory (Greg) Markovich, FINRA Member Supervision            Steven (Steve) Polansky, FINRA Member Supervision            Emily Vanderpool, FINRA Member Supervision</p>
12:15 p.m. – 12:30 p.m.	Break
12:30 p.m. – 1:30 p.m.	<p>▶ Office Hours (By appointment)</p> <p>Office Hours provides 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 issues.</p> <p><b>FINRA Participants:</b> Scott Gilbert, FINRA Member Supervision            Melanie Chan, FINRA Member Supervision            Brian Kowalski, FINRA Member Supervision</p>

# Agenda *(con't)*

1:30 p.m.– 2:15 p.m.	<p>▶ <b>Prime Brokerage and Portfolio Margin</b></p> <p>During this session, FINRA staff and industry panelists discuss the changing prime brokerage landscape and firms risk management practices. Panelists will also discuss the portfolio margin findings and offer effective practices to mitigate issues.</p> <p><b>Moderator:</b> <b>Carla Madeo</b>, FINRA Member Supervision  <b>Panelists:</b> <b>James Barry</b>, FINRA Member Supervision  <b>Mark Frankenberg</b>, FINRA Office of Financial and Operational Risk Policy  <b>William (Bill) Wollman</b>, FINRA Office of Financial and Operational Risk Policy</p>
2:15 p.m. – 2:30 p.m.	Break
2:30 p.m. – 3:00 p.m.	<p>▶ <b>FOCUS Reports: Amended Part II</b></p> <p>This session provides an overview of the Amended Part II Financial and Operational Combined Uniform Single (FOCUS) reports. Join panelists as they discuss the new FOCUS Report that will replace the FOCUS Part II for the October 31, 2021 filing period.</p> <p><b>Moderator:</b> <b>Ann Duguid</b>, FINRA Office of Financial and Operational Risk Policy  <b>Panelists:</b> <b>Ronald (Ron) Chan</b>, FINRA Member Supervision</p>
3:00 p.m. – 3:15 p.m.	Break
3:15 p.m. – 4:00 p.m.	<p>▶ <b>Financial and Operational Key Risks and Issues</b></p> <p>This session provides an overview of key financial and operational risks observed at member firms. Join panelists as they discuss current financial and operational risks, changing landscape and issues that firms address in their day-to-day responsibilities. Attendees also learn effective practices taken by compliance and risk professionals to monitor financial and operational risks.</p> <p><b>Moderator:</b> <b>Michael (Mike) MacPherson</b>, FINRA Member Supervision  <b>Panelists:</b> <b>Craig Caban</b>, FINRA Member Supervision  <b>Emily Noelker</b>, FINRA Member Supervision</p>
4:00 p.m. – 4:05 p.m.	▶ <b>Closing Remarks: Ornella Bergeron, FINRA Member Supervision</b>

## CONTINUING EDUCATION (CE) CREDITS

Attendance to this virtual member forum qualifies for four (4) Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup> Continuing Education (CE) credits – Plus a Continuing Legal Education (CLE) CE voucher.  
**Please note:** CRCP<sup>®</sup> CE credit should be self-reported after the event.

# Speaker List

## How to Register

To register, visit [our website](#) to 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](mailto:conreg@finra.org).

## Contact Information

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

## Speaker List

Name	Company
James Barry	FINRA Office of Financial and Operational Risk Policy
Ornella Bergeron	FINRA Member Supervision
Craig Caban	FINRA Member Supervision
Ronald (Ron) Chan	FINRA Member Supervision
Melanie Chan	FINRA Member Supervision
Ann Duguid	FINRA Office of Financial and Operational Risk Policy
Mark Frankenberg	FINRA Member Supervision
Scott Gilbert	FINRA Member Supervision
David (Dave) Kelley	FINRA Member Supervision
Brian Kowalski	FINRA Member Supervision
Michael (Mike) MacPherson	FINRA Member Supervision
Carla Madeo	FINRA Member Supervision
Neelanjan (Neel) Maitra	U.S. Securities and Exchange Commission (SEC)
Gregory (Greg) Markovich	FINRA Member Supervision
Emily Noelker	FINRA Member Supervision
Steven (Steve) Polansky	FINRA Member Supervision
Stephen Prospero	The Depository Trust & Clearing Corporation (DTCC)
Matthew (Matt) Reyburn	FINRA Member Supervision
Alissa (Lisa) Robinson	FINRA Member Supervision
Emily Vanderpool	FINRA Member Supervision
William (Bill) Wollman	FINRA Office of Financial and Operational Risk Policy
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)