



FINRA Firm Grouping  
Member Forum:  
**Capital Markets &  
Investment Banking**

**October 5, 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, October 5

All times are listed in Eastern Time

10:00 a.m. – 10:45 a.m.	<p>▶ <b>Welcome Remarks and Capital Markets and Investment Banking Common Examination Findings</b></p> <p>Join FINRA staff as they discuss the most common deficiencies noted during Capital Markets and Investment Banking examinations. Panelists discuss effective practices for preparing for examinations, taking corrective action, annual priorities, trends and updated compliance procedures and practices based on lessons learned from common examination findings. Panelists also share helpful tools and resources available on FINRA.org to manage compliance requirements.</p> <p><b>Welcome Remarks Speaker:</b> William (Bill) St. Louis, FINRA Member Supervision  <b>Moderator:</b> Thomas (Tom) Mellett, FINRA Member Supervision  <b>Panelists:</b> Catherine Dunn, FINRA Member Supervision            Stacie Jungling, FINRA Member Supervision            Matthew (Matt) Reyburn, FINRA Member Supervision</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 11:30 a.m.	<p>▶ <b>FINRA's Membership Application Program (MAP)</b></p> <p>Attend this session to hear about FINRA's Membership Application Program (MAP). Learn how FINRA evaluates proposed business activities of potential and existing member firms, including the applicant's financial, operational, supervisory and compliance systems. This session provides an overview of the application process.</p> <p><b>Moderator:</b> Leyna Goro, FINRA Member Supervision  <b>Panelists:</b> Patricia (Pat) Dorilio, FINRA Member Supervision            Kayla Martin, FINRA Member Supervision            Robert (Rob) Schmidt, FINRA Member Supervision</p>
11:30 a.m. – 11:45 a.m.	Break
11:45 a.m. – 12:15 p.m.	<p>▶ <b>Advertising Regulation Update</b></p> <p>Join FINRA staff and industry panelists as they discuss current advertising compliance issues. Panelists also share tips to strengthen the marketing and compliance relationship when developing compliant communications.</p> <p><b>Moderator:</b> Amy Sochard, FINRA Advertising Regulation  <b>Panelists:</b> Ira Gluck, FINRA Advertising Regulation            Minh Le, FINRA Corporate Financing</p>
12:15 p.m. – 1:00 p.m.	Break

# Agenda *(con't)*

1:00 p.m.– 1:30 p.m.	<p>▶ <b>Office Hours (By appointment)</b></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>Office Hours Topics:</b></p> <p><b>Financial Rule Update</b>  <b>Bo Kim</b>, FINRA Member Supervision  <b>Tyler Kane</b>, FINRA Office of Financial and Operational Risk Policy</p> <p><b>Cybersecurity</b>  <b>Richard (Rich) Harmon</b>, FINRA Member Supervision  <b>Keith Bettencourt</b>, FINRA Member Supervision</p> <p><b>FINRA Membership Application Program (MAP)</b>  <b>George Malley</b>, FINRA Member Supervision  <b>Patricia (Pat) Dorilio</b>, FINRA Member Supervision</p> <p><b>Funding Portal</b>  <b>James Murphy</b>, FINRA Member Supervision</p> <p><b>General Questions</b>  <b>Michael Mailes</b>, FINRA Member Supervision  <b>Steven Brooks</b>, FINRA Member Supervision  <b>Roberta Devorsky</b>, FINRA Member Supervision  <b>Henry (Hank) Kugaczewski</b>, FINRA Member Supervision</p>
1:30 p.m. – 2:00 p.m.	<p>▶ <b>Introduction to Your Capital Markets and Investment Banking Single Points of Accountability (SPoAs)</b></p>
	<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><b>Speakers:</b> <b>Elliot Henslovitz</b>, FINRA Member Supervision  <b>Robert (Rob) Sulik</b>, FINRA Member Supervision  <b>Laura Trotz</b>, FINRA Member Supervision</p>
2:00 p.m. – 2:15 p.m.	Break

2:15 p.m. – 3:00 p.m.	<p>▶ <b>Financial Rule Updates</b></p>
	<p>This session provides an update on financial rules affecting Capital Markets and Investment Banking firms. Join FINRA staff as they discuss the ASC 606 revenue recognition standard, annual audits, expense sharing arrangements, permanency of capital, and exemption reporting.</p> <p><b>Moderator:</b> Ann Duguid, FINRA Office of Financial and Operational Risk Policy</p> <p><b>Panelists:</b> Alif Dhanidina, FINRA Member Supervision  Pamela Moy, FINRA Member Supervision  Anthony Vinci, FINRA Office of Financial and Operational Risk Policy</p>
3:00 p.m. – 3:15 p.m.	Break
3:15 p.m. – 4:05 p.m.	<p>▶ <b>Cybersecurity and Closing Remarks</b></p>
	<p>This session will focus on cybersecurity issues and common challenges for all size firms. Panelists will discuss the current threat landscape including imposter websites, phishing intrusions, ransomware, account takeovers among others, along with effective practices firms can follow.</p> <p><b>Moderator:</b> David (Dave) Kelley, FINRA Member Supervision</p> <p><b>Panelists:</b> Keith Bettencourt, FINRA Member Supervision  Robert (Rob) Gnoinski, FINRA Member Supervision  Heather Watson, FINRA Member Supervision</p>
3:15 p.m. – 4:05 p.m.	<p>▶ <b>Closing Remarks Speaker: William (Bill) St. Louis, FINRA Member Supervision</b></p>

#### CONTINUING EDUCATION (CE) CREDITS

Attendance to this virtual member forum qualifies for four-and-a-half (4.5) 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.

# How to Register

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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

## Speaker List

Name	Company
Keith Bettencourt	FINRA Member Supervision
Steven Brooks	FINRA Member Supervision
Roberta Devorsky	FINRA Member Supervision
Alif Dhanidina	FINRA Member Supervision
Patricia (Pat) Dorilio	FINRA Member Supervision
Ann Duguid	FINRA Office of Financial and Operational Risk Policy
Catherine Dunn	FINRA Member Supervision
Ira Gluck	FINRA Advertising Regulation
Robert (Rob) Gnoinski	FINRA Member Supervision
Leyna Goro	FINRA Member Supervision
Richard (Rich) Harmon	FINRA Member Supervision
Elliot Henslovitz	FINRA Member Supervision
Stacie Jungling	FINRA Member Supervision
Tyler Kane	FINRA Office of Financial and Operational Risk Policy
David (Dave) Kelley	FINRA Member Supervision
Bo Kim	FINRA Member Supervision
Henry (Hank) Kugaczewski	FINRA Member Supervision
Minh Le	FINRA Corporate Financing
Michael Mailes	FINRA Member Supervision
George Malley	FINRA Member Supervision
Kayla Martin	FINRA Member Supervision
Thomas (Tom) Mellett	FINRA Member Supervision
Pamela (Pam) Moy	FINRA Member Supervision
James Murphy	FINRA Member Supervision
Matthew (Matt) Reyburn	FINRA Member Supervision
Robert (Rob) Schmidt	FINRA Member Supervision
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