

The image features a dark blue background with several light blue diagonal lines crossing each other. The text is positioned in the upper right quadrant.

FINRA Firm Grouping Member Forum: **Retail**

December 9, 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

Thursday, December 9

All times are listed in Eastern Time

10:00 a.m. – 10:45 a.m.	<p>▶ Welcome Remarks and Retail Firm Examinations: Insight into Reviews and What to Expect</p> <p>Join FINRA staff as they discuss the most common deficiencies noted during routine FINRA examinations of retail firms. During the session, FINRA staff will share proactive tips, tools, and reviews firms can implement to avoid these deficiencies.</p> <p>Welcome Remarks Speaker: John Hickey, FINRA Member Supervision</p> <p>Moderator: John Hickey, FINRA Member Supervision</p> <p>Panelists: Philip (Phil) Koszulinski, FINRA Member Supervision Yuliana Landers, FINRA Member Supervision John Macharia, FINRA Member Supervision</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 11:30 a.m.	<p>▶ Introduction to Your Retail Single Points of Accountability (SPoAs)</p> <p>During this session, FINRA SPoAs discuss the firm grouping structure. Panelists provide insight into their roles and how they interact with firms.</p> <p>Moderator: Andrew McElduff, FINRA Member Supervision</p> <p>Panelists: Lance Burkett, FINRA Member Supervision Robert (Bob) Chao, FINRA Member Supervision Elizabeth (Liz) Page, FINRA Member Supervision</p>
11:30 a.m. – 11:45 a.m.	Break
11:45 a.m. – 12:15 p.m.	<p>▶ Fireside Chat</p> <p>Fireside Chat featuring FINRA Executive Vice President, Member Supervision Greg Ruppert and Senior Vice President of FINRA's National Cause and Financial Crimes (NCFC) Detection Program Sam Draddy .</p> <p>Panelists: Sam Draddy, FINRA Member Supervision Greg Ruppert, FINRA Member Supervision</p>
12:15 p.m. – 1:00 p.m.	Break

Agenda *(con't)*

1:00 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>Lance Burkett, FINRA Member Supervision Robert (Bob) Chao, FINRA Member Supervision Andrew McElduff, FINRA Member Supervision Elizabeth (Liz) Page, FINRA Member Supervision</p>
1:30 p.m. – 2:15 p.m.	<p>▶ Restricted Firm Obligations: What You Need to Know</p>
	<p>Join FINRA staff as they discuss Rule 4111 (Restricted Firm Obligations) which takes effect January 2022. During the session, panelists review the new obligation and criteria for identification.</p> <p>Moderator: Lance Burkett, FINRA Member Supervision Speakers: Koshla Dalal, FINRA Office of General Counsel Michael Garawski, FINRA Office of General Counsel AnnMarie McGarrigle, FINRA Member Supervision</p>
2:15 p.m. – 2:30 p.m.	<p>Break</p>
2:30 p.m. – 3:00 p.m.	<p>▶ Brokers With a Significant History of Misconduct</p>
	<p>Join FINRA staff as the discuss the new broker with significant history of misconduct obligations. Panelists review the implications of retaining or hiring brokers with such a history.</p> <p>Moderator: Kristin Ferrante, FINRA Member Supervision Panelists: Jennifer (Jen) Crawford, FINRA Enforcement Jennifer (Jen) Danby, FINRA Member Supervision Paxton Dunn, FINRA Member Supervision</p>
3:00 p.m. – 3:15 p.m.	<p>Break</p>
3:15 p.m. – 4:05 p.m.	<p>▶ Regulation Best Interest and Closing Remarks</p>
	<p>Join FINRA staff as they discuss Regulation Best Interest—FINRA’s approach and examination findings.</p> <p>Moderator: William (Bill) St. Louis, FINRA Member Supervision Panelists: Ted Luecke, FINRA Member Supervision Heidi Udagawa, FINRA Member Supervision Erin Vocke, FINRA Member Supervision</p> <p>Closing Remarks Speaker: William (Bill) St. Louis, FINRA Member Supervision</p>

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.

Contact Information

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

CONTINUING EDUCATION (CE) CREDITS

Attendance to this virtual member forum qualifies for three-and-three-quarters (3.75) Certified Regulatory and Compliance Professional (CRCP)[®] Continuing Education (CE) credits – Plus a Continuing Legal Education (CLE) CE voucher. Please note: CRCP[®] CE credit should be self-reported after the event.

Speaker List

Speaker List

Name	Company
Lance Burkett	FINRA Member Supervision
Robert (Bob) Chao	FINRA Member Supervision
Jennifer (Jen) Crawford	FINRA Enforcement
Kosha Dalal	FINRA Office of General Counsel
Jennifer (Jen) Danby	FINRA Member Supervision
Sam Draddy	FINRA Member Supervision
Paxton Dunn	FINRA Member Supervision
Kristin Ferrante	FINRA Member Supervision
Michael Garawski	FINRA Office of General Counsel
John Hickey	FINRA Member Supervision
Philip (Phil) Koszulinski	FINRA Member Supervision
Yuliana Landers	FINRA Member Supervision
Ted Luecke	FINRA Member Supervision
John Macharia	FINRA Member Supervision
Andrew McElduff	FINRA Member Supervision
AnnMarie McGarrigle	FINRA Member Supervision
Elizabeth (Liz) Page	FINRA Member Supervision
Greg Ruppert	FINRA Member Supervision
William (Bill) St. Louis	FINRA Member Supervision
Heidi Udagawa	FINRA Member Supervision
Erin Vocke	FINRA Member Supervision