



FINRA Firm Grouping Member Forum: **Trading and Execution**

November 10, 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

Wednesday, November 10

All times are listed in Eastern Time

10:00 a.m. – 10:45 a.m.	<p>► Welcome Remarks and Developments in the Digital Assets Market</p>
	<p>This session focuses on recent developments in the digital assets space. Join FINRA panelists and industry experts as they explain how these products and related initiatives are evolving and impacting the securities industry.</p> <p>Welcome Remarks Speakers: Gene DeMaio, FINRA Market Regulation Timothy (Tim) Thompson, FINRA Market Regulation</p> <p>Moderator: Carlos Araya, FINRA Market Regulation Panelists: Pat LaVecchia, Oasis Pro Markets LLC Michael Oh, FINRA Office of Financial Innovation (OFI) Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 11:30 a.m.	<p>► Alternative Trading Systems (ATS) Update</p>
	<p>Alternative Trading Systems (ATS) have become more complex and sophisticated which requires more transparency. Join FINRA staff as they provide updates to ATS for nontraditional products such as digital assets, private placements, stock loans and repurchase agreements.</p> <p>Moderator: Elizabeth (Liz) West, FINRA Market Regulation Panelists: Susan Lee, FINRA Market Regulation Richard (Rick) Levin, Nelson Mullins Riley & Scarborough LLP Robert (Rob) McNamee, FINRA Office of General Counsel</p>
11:30 a.m. – 11:45 a.m.	Break
11:45 a.m. – 12:15 p.m.	<p>► Social Media and Public Communications: Helping You Get It Right</p>
	<p>This session provides attendees with what they need to know when creating and supervising social media and other communications. Join FINRA staff as they lead this interactive discussion and answer your questions about how to stay compliant when communicating through social networks, advertisements, email, and mobile devices.</p> <p>Moderator: Sharon Alexander, FINRA Market Regulation Panelists: Stephanie Gregory, FINRA Advertising Regulation Anthony Maher, FINRA Advertising Regulation</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>Brian Crane, FINRA Market Regulation Zorica Sekanic, FINRA Market Regulation Patrick (Pat) Tominey, FINRA Market Regulation Elizabeth (Liz) West, FINRA Market Regulation</p>
1:30 p.m. – 2:00 p.m.	<p>► Fireside Chat</p> <p>During this fireside chat, Gene DeMaio, the Executive Vice President, Options Regulation and Trading and Execution Examinations and Tim Thompson, Senior Vice President, Firm Group Leader will discuss department priorities and how FINRA is responding to recent market events.</p> <p>Speakers: Gene DeMaio, FINRA Market Regulation Timothy (Tim) Thompson, FINRA Market Regulation</p>
2:00 p.m. – 2:15 p.m.	Break
2:15 p.m. – 3:00 p.m.	<p>► Regulatory Developments and Trends</p> <p>Join FINRA staff as they discuss regulatory developments, trends and implications from recent enforcement cases that are affecting Trading and Execution firms.</p> <p>Moderator: Zorica Sekanic, FINRA Market Regulation Panelists: Kyle Morse, FINRA Market Regulation Peter Stoehr, FINRA Market Regulation Max Tourtelot, FINRA Market Regulation</p>
3:00 p.m. – 3:15 p.m.	Break
3:15 p.m. – 4:05 p.m.	<p>► Cybersecurity and Closing Remarks</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>Moderator: David (Dave) Kelley, FINRA Member Supervision Panelists: Gregory (Greg) Markovich, FINRA Member Supervision Carmi Moser, FINRA Member Supervision Len Smuglin, FINRA Member Supervision</p> <p>Closing Remarks Speakers: Gene DeMaio, FINRA Market Regulation Timothy (Tim) Thompson, FINRA Market Regulation</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 conreq@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 four-and-a-quarter (4.25) 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

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Name	Company
Sharon Alexander	FINRA Market Regulation
Carlos Araya	FINRA Market Regulation
Brian Crane	FINRA Market Regulation
Gene DeMaio	FINRA Market Regulation
Stephanie Gregory	FINRA Advertising Regulation
David (Dave) Kelley	FINRA Member Supervision
Pat LaVecchia	Oasis Pro Markets LLC
Susan Lee	FINRA Market Regulation
Richard (Rick) Levin	Nelson Mullins Riley & Scarborough LLP
Anthony Maher	FINRA Advertising Regulation
Gregory (Greg) Markovich	FINRA Member Supervision
Robert (Rob) McNamee	FINRA Office of General Counsel
Kyle Morse	FINRA Market Regulation
Carmi Moser	FINRA Member Supervision
Michael Oh	FINRA Office of Financial Innovation (OFI)
Zorica Sekanic	FINRA Market Regulation
Len Smuglin	FINRA Member Supervision
Peter Stoehr	FINRA Market Regulation
Timothy (Tim) Thompson	FINRA Market Regulation
Patrick (Pat) Tominey	FINRA Market Regulation
Max Tourtelot	FINRA Market Regulation
Elizabeth (Liz) West	FINRA Market Regulation
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)