

2022 **FINRA**
ANNUAL CONFERENCE

CONNECT

FINRA's premier event—the Annual Conference provides the opportunity for practitioners, peers and regulators to exchange ideas on today's most timely compliance and regulatory topics. The conference offers industry professionals a variety of sessions related to current trends in technology, cybersecurity, risk management and much more.

Sunday, May 15	<i>All sessions are listed in Eastern Time.</i>
5:00 p.m. – 7:00 p.m.	Registration & Information
Monday, May 16	
7:30 a.m. – 6:00 p.m.	Registration & Information
7:30 a.m. – 9:30 a.m.	Breakfast
9:30 a.m. – 9:35 a.m.	▶ Plenary Session I: Welcome Remarks 🎥
	Speaker: Kayte Toczylowski, FINRA Member Relations and Education
9:35 a.m. – 10:00 a.m.	▶ Plenary Session II: 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
10:00 a.m. – 11:00 a.m.	▶ Plenary Session III: A Conversation With the Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC) 🎥
	Join FINRA President and CEO Robert Cook and SEC Chair Gary Gensler for a conversation about industry topics impacting the markets and the financial services industry. Speaker: Robert Cook, FINRA Gary Gensler, U.S. Securities and Exchange Commission (SEC)
11:00 a.m. – 11:15 a.m.	▶ Networking & Demo Break FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors



OFFICE HOURS

Office Hours are available for in-person attendees. FINRA staff members are available throughout the conference to discuss firm-specific questions.



RECORDED
SESSIONS

11:15 a.m. – 12:15 p.m.	Concurrent Sessions I
	<p>▶ Continuing Education Changes 📺</p> <p>During this session, panelists discuss changes, and answer questions around the Securities Industry Continuing Education program.</p> <p>Moderator: Elisabeth Craig, FINRA Credentialing, Registration, Education and Disclosure (CRED)</p> <p>Panelists: Bri Joiner, Municipal Securities Rulemaking Board (MSRB) Joseph (Joe) McDonald, FINRA Credentialing, Registration, Education and Disclosure (CRED) Patricia Monterosso, FINRA Credentialing, Registration, Education and Disclosure (CRED) James (Jim) Papagiannis, InspereX</p>
	<p>▶ Left of Boom: Fraud Prevention Solutions 📺</p> <p>Join FINRA staff and industry experts as they discuss “left of boom”. This means identifying the threat and preventing a disruption before an attack should occur. Panelists share effective left and right of boom policies and procedures.</p> <p>Moderator: Jamie Udinson, FINRA Member Supervision</p> <p>Panelists: Jason Foye, FINRA Member Supervision Ivy Gong, Morgan Stanley Kara Suro, Charles Schwab & Co., Inc. Tina Tambiah, FINRA Member Supervision</p>
	<p>▶ Senior and At-Risk Investors 📺</p> <p>Join FINRA staff and industry practitioners as they discuss legal and regulatory tools and effective practices to assist firms and financial professionals in serving and protecting senior and other at-risk investors.</p> <p>Moderator: Jeanette Wingler, FINRA Office of General Counsel</p> <p>Panelists: Brooke Hickman, FINRA Member Supervision Thomas (Tom) Mierswa, Morgan Stanley Jennifer Szaro, CRCP®, XML Securities, LLC Joel Sauer, CFA, Charles Schwab & Co., Inc.</p>
	<p>▶ Advanced Analytics: Transforming the Industry With People, Processes & Technology 📺</p> <p>Whether you’re new to the topic or an expert in machine learning, gain practical knowledge to leverage expertise, reimagine problems, deploy capabilities, and capture business value using advanced analytics while controlling for risks and addressing regulatory concerns. During the session panelists discuss successes, challenges, and best practices in implementing advanced analytics.</p> <p>Moderator: Brad Ahrens, FINRA Office of the Chief Executive Officer</p> <p>Panelists: Terrence (Terry) Bohan, FINRA Enforcement Eren Kurshan, Morgan Stanley Kalyan Sengupta, J.P. Morgan</p>
12:15 p.m. – 1:15 p.m.	General Lunch

12:15 p.m. – 1:15 p.m.	<p>▶ Certified Regulatory and Compliance Professional (CRCP)[®] Program Lunch for Graduates</p> <p>Are you a CRCP[®] graduate? Join us for lunch and networking with your former classmates and other CRCP graduates. Reminisce on your time at program and expand your network of CRCP alumni. Space is limited—only guests registered for the CRCP Luncheon may attend.</p> <p>Introduction: Susanne Goldsmith, FINRA Member Relations and Education</p> <p>Speaker: James (Jim) Angel, McDonough School of Business, Georgetown University</p>
1:15 p.m. – 1:45 p.m.	Dessert With Exhibitors
1:45 p.m. – 2:45 p.m.	▶ Concurrent Sessions II
	<p>▶ Environmental, Social and Governance (ESG) Developments 🗣️</p> <p>Join FINRA staff and industry practitioners as they discuss ESG developments. This session includes a discussion on current regulatory expectations and ways to effectively implement and manage ESG investing at your firm.</p> <p>Moderator: Nathaniel Stankard, Office of the Chief Executive Officer</p> <p>Panelists: Brian Callery, CFP[®], AAMS, Edward Jones Yves Denize, Nuveen Mark Kim, Municipal Securities Rulemaking Board (MSRB) Matthew (Matt) Slovik, Morgan Stanley</p>
	<p>▶ FINRA’s Examination and Risk Monitoring Program 🗣️</p> <p>Join FINRA staff as they discuss FINRA’s examination and risk monitoring programs. During the session, panelists review various examination and risk monitoring trends and current rulemaking initiatives.</p> <p>Moderator: Ornella Bergeron, FINRA Member Supervision</p> <p>Panelists: Paxton Dunn, FINRA Member Supervision Andrew McElduff, FINRA Member Supervision Joseph (Joe) Sheirer, FINRA Member Supervision</p>
	<p>▶ Market Regulation and Transparency Services Priorities 🗣️</p> <p>This session provides updates on market regulation and transparency priorities, including current initiatives and rulemaking. FINRA panelists share thoughts on equities, options, and fixed income compliance programs.</p> <p>Moderator: Susan Tibbs, FINRA Market Regulation</p> <p>Panelists: Gene DeMaio, FINRA Market Regulation Jon Kroeper, FINRA Market Regulation Ola Persson, FINRA Market Regulation</p>

	<p>▶ Social Media and the Rise of the Finfluencers 🗣️</p> <p>Human behavior has evolved as a result of the pandemic. For the financial services industry, the rapid acceleration of digital adoption has dramatically changed the way we engage with each other and our clients. Join FINRA staff and industry panelists as they discuss how social media and social media influencers are affecting the industry. Panelists discuss new developments, effective compliance practices, and how their firms are managing social media obligations.</p> <p>Moderator: Stephanie Gregory, FINRA Advertising Regulation</p> <p>Panelists: Lisa Colone, FINRA Enforcement Michael Gerena, FINRA Member Supervision Terrie Hanna, Fidelity Investments</p>
2:45 p.m. – 3:00 p.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
3:00 p.m. – 4:00 p.m.	<p>▶ Concurrent Sessions III</p>
	<p>▶ Hot Topics in FinTech 🗣️</p> <p>Join FINRA staff and industry practitioners as they discuss the growing area of FinTech (Financial Technology). The session includes a discussion on new and innovative ways firms are integrating fintech into their business models and the importance of a strong compliance structure to address regulatory obligations.</p> <p>Moderator: Steven (Steve) Price, FINRA Member Supervision</p> <p>Panelists: Alan Carlisle, SoFi Robert (Bob) Chao, FINRA Member Supervision Nicole Murphy, Cash App Investing, LLC</p>
	<p>▶ Navigating the Clearing Relationship 🗣️</p> <p>This session is designed to assist firms in making the most of the relationship with their clearing firm. Panelists discuss types of data and services clearing firms offer, and practices for integrating these tools into introducing firms’ compliance processes.</p> <p>Moderator: Michael (Mike) MacPherson, FINRA Member Supervision</p> <p>Panelists: Rajeev Khurana, Apex Clearing Corporation John Martino, FINRA Member Supervision</p>
	<p>▶ Insider Trading, Fraud and Market Abuse 🗣️</p> <p>This session focuses on recent or noteworthy insider trading, fraud and market abuse cases. Panelists highlight emerging trends, provide tips to identify potential “red flags”, and discuss who to contact if a fraudulent scheme is suspected.</p> <p>Moderator: Sam Draddy, FINRA Member Supervision</p> <p>Panelists: Karen Braine, FINRA Member Supervision Jason Foye, FINRA Member Supervision Jackie Perrell, FINRA Member Supervision</p>

	<p>▶ Alternative Investments and Complex Products 📺</p> <p>This session addresses developments related to alternative investments and complex products. The session emphasizes the importance of understanding product features, characteristics, and their supervisory challenges.</p> <p>Moderator: Joseph (Joe) Price, FINRA Corporate Financing & Advertising Regulation</p> <p>Panelists: Brad Anderson, DFIG Investments, LLC Kelly Rock, Esq., U.S. Securities and Exchange Commission (SEC) Thomas (Tom) Selman, CFA, Scopus Financial Group</p>
4:00 p.m. – 4:15 p.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
4:15 p.m. – 5:15 p.m.	<p>▶ Plenary Session IV: Keynote Address—Martina Edwards: Owing Greatness 📺</p>
	<p>Martina Edwards may be a lot of things but quitting in the face of adversity has never been one of her attributes. In this motivational talk, Edwards will share her journey — from being raised in rural Alabama to breaking barriers on Wall Street and beyond. Join us as Martina connects the dots on the power of bold thinking, self-confidence, serving others and living up to your own greatness. She'll discuss the importance of Diversity, Equity and Inclusion (DEI) and how we can all actively participate in empowering people to create economic prosperity that transcends to others. Martina proves that hard work and smart financial moves, coupled with talent, are a recipe for success. It all starts by owning your greatness.</p> <p>Introduction: Kayte Toczylowski, FINRA Member Relations and Education</p> <p>Speaker: Martina Edwards, One of Wall Street's First Black Women Traders & Chief of Strategic Partnerships, Access to Capital for Entrepreneurs</p>
5:30 p.m. – 6:30 p.m.	▶ Networking Reception Sponsored by SMARSH
6:30 p.m.	Buses begin loading at Marquis Rear Lobby
7:00 p.m. – 9:00 p.m.	▶ Opening Night Reception at the National Portrait Gallery



CONTINUING EDUCATION (CE) CREDITS

The FINRA Annual Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits.

Tuesday, May 17	
7:30 a.m. – 6:00 p.m.	Registration & Information
7:30 a.m. – 6:00 p.m.	Networking With Exhibitors FINRA IDEA—Innovation, Demonstration & Engagement Area
7:30 a.m. – 8:30 a.m.	General Breakfast and Seating
8:30 a.m. – 9:30 a.m.	Concurrent Sessions IV
	<p>▶ Vendor Management: Due Diligence and Oversight 📺</p> <p>During this session, FINRA staff walk through various important considerations when choosing new vendors. Panelists 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>Moderator: Kyle Morse, FINRA Market Regulation</p> <p>Panelists: Catherine Dunn, FINRA Member Supervision Yuliana Landers, FINRA Member Supervision Matthew (Matt) Reyburn, FINRA Member Supervision</p>
	<p>▶ Remote Supervision 📺</p> <p>Join FINRA staff and industry panelists as they discuss what they have learned from working remotely. During the session, panelists discuss effective controls, procedures, and processes that member firms are incorporating to address supervision in a remote work environment.</p> <p>Moderator: Shelly Davis, FINRA Member Supervision</p> <p>Panelists: Sarah Kwak, FINRA Office of the General Counsel Jessica Pastorino, M&A Securities Group, Inc. Gina Rettagliata, FINRA Member Supervision</p>
	<p>▶ Options 📺</p> <p>Join FINRA staff and industry panelists as they discuss regulatory issues impacting options markets.</p> <p>Moderator: Gene DeMaio, FINRA Market Regulation</p> <p>Panelists: Tina Gubb, FINRA Enforcement Jordan Materna, FINRA Member Supervision Danny Mileto, FINRA Market Regulation Steven (Steve) Price, FINRA Member Supervision</p>

	<p>▶ Conflicts of Interest in Capital Markets and Investment Banking 🗣️</p> <p>Join FINRA staff and industry professionals as they discuss helpful tips and tools for managing conflicts of interest in capital markets and investment banking firms. Panelists discuss practices that raise conflict of interest concerns and how to remedy these issues.</p> <p>Moderator: Thomas (Tom) Mellett, FINRA Member Supervision</p> <p>Panelists: Cathleen Mack, Solomon Partners Kathryn Travers, FINRA Member Supervision Osamu Watanabe, Moelis & Company</p>
9:30 a.m. – 9:45 a.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
9:45 a.m. – 10:45 a.m.	<p>Concurrent Sessions V</p>
	<p>▶ Challenges Facing Firms in Monitoring AML and Protecting Against Fraudulent Activities 🗣️</p> <p>This session reviews challenges facing firms in monitoring and protecting against fraudulent activities. Join FINRA staff and industry panelists as they provide examples of effective controls their firms have put into place to address AML risks.</p> <p>Moderator: Gargi Sharma, FINRA Member Supervision</p> <p>Panelists: Chris Covington, Council of the Inspectors General on Integrity and Efficiency (CIGIE) Sarah Green, The Vanguard Group Inc. Kara Williams, FINRA Member Supervision</p>
	<p>▶ Communications Compliance: Current Developments 🗣️</p> <p>Join FINRA staff and industry panelists for a discussion of current communications compliance and marketing practices. Topics include recent guidance on how FINRA’s communications rules apply in a virtual environment, and how firms can communicate compliantly about ESG and other current investment trends. Panelists also talk about the regulatory implications of complex products and services such as crypto assets and emerging technologies in the marketing compliance space.</p> <p>Moderator: Ira Gluck, FINRA Advertising Regulation</p> <p>Panelists: Suzanne Bond, Inland Securities Corporation Pramit Das, FINRA Advertising Regulation Sheelagh Howett, Cantella & Co., Inc.</p>
	<p>▶ Restricted Firm Obligations: What You Need to Know 🗣️</p> <p>Join FINRA staff as they discuss Rule 4111 (Restricted Firm Obligations) which went into effect in January 2022. During the session, panelists review the new obligation and criteria for identification.</p> <p>Moderator: William (Bill) St. Louis, FINRA Member Supervision</p> <p>Panelists: Lance Burkett, FINRA Member Supervision Kosha Dalal, FINRA Office of General Counsel</p>

	<p>▶ Considerations and Practices for Supervising Independent Contractors 📺</p> <p>This panel of FINRA staff and industry members addresses common challenges in supervising independent contractors. The session offers examples and suggestions for firms to use in their everyday supervision and compliance efforts. The panel also discusses existing rules and related guidance and shares effective industry practices.</p> <p>Moderator: Todd Coppi, FINRA Member Supervision</p> <p>Panelists: Robert (Rob) Molinari, Commonwealth Financial Network Meaghan Reim-Strange, FINRA Member Supervision Douglas (Doug) Wilburn, Valmark Securities, Inc.</p>
10:45 a.m. – 11:00 a.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
11:00 a.m. – 12:00 p.m.	<p>Concurrent Sessions VI</p>
	<p>▶ Trends and Developments in Private Placements 📺</p> <p>This session focuses on industry and regulatory developments related to private placements. During the session, panelists discuss common concerns and recent regulatory findings. Speakers provide practical information and compliance tips for firms offering these products and discuss Regulatory Notice 21-10.</p> <p>Moderator: Minh Le, FINRA Corporate Financing</p> <p>Panelists: Kimberly (Kim) Flanders, FINRA Advertising Regulation Tyler Gray, MicroVentures Marketplace Inc. Scott Maestri, FINRA Member Supervision</p>
	<p>▶ Enforcement Developments 📺</p> <p>This session provides an overview of new developments and trends in enforcement, including enforcement priorities. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities and provide guidance on regulatory and compliance practices.</p> <p>Moderator: Christopher (Chris) Kelly, FINRA Enforcement</p> <p>Panelists: Melissa Hodgman, U.S. Securities and Exchange Commission (SEC) Jessica Hopper, FINRA Enforcement</p>
	<p>▶ Financial and Operational Effective Practices 📺</p> <p>This session provides an overview of current financial and operational topics and recent developments in financial and operational rules and requirements applicable to broker-dealers. Join FINRA staff and industry practitioners as they discuss current financial and operational risks and issues impacting firms as well as new and proposed rules. Attendees also learn effective practices taken by compliance and risk professionals to monitor financial and operational risks.</p> <p>Moderator: Kris Dailey, FINRA Member Regulation</p> <p>Panelists: Ann Duguid, FINRA Office of Financial and Operational Risk Policy Brian Kowalski, FINRA Member Supervision Michael Lyons, National Financial Services Michael (Mike) Macchiaroli, U.S. Securities and Exchange Commission (SEC)</p>

	<p>▶ Hot Topics in Municipal Securities and Other Fixed Income 📺</p> <p>FINRA and MSRB staff discuss recent enforcement actions related to municipal securities (e.g., 529 Plans, municipal short positions), examination priorities, fixed income-related rulemaking and common problems uncovered during Member Supervision and Market Regulation reviews.</p> <p>Moderator: Cynthia (Cindy) Friedlander, FINRA Office of General Counsel</p> <p>Panelists: Gene Davis, FINRA Member Supervision Bri Joiner, Municipal Securities Rulemaking Board (MSRB) John Saxton, FINRA Market Regulation</p>
12:00 p.m. – 1:00 p.m.	General Lunch
1:00 p.m. – 1:45 p.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
1:00 p.m. – 1:45 p.m.	<p>▶ Firm Grouping Networking</p> <ul style="list-style-type: none"> • Desserts and Networking With Capital Markets and Investment Banking Firms • Desserts and Networking With Diversified and Carrying & Clearing Firms • Desserts and Networking With Retail Firms • Desserts and Networking With Trading & Execution Firms
1:45 p.m. – 2:45 p.m.	Concurrent Session VII
	<p>▶ Navigating Special Purpose Acquisition Companies (SPACs) 📺</p> <p>The SPACs market has undergone rapid growth in recent years. Join FINRA staff as they discuss the difference between a SPAC and an IPO, and some of the risks of investing in SPACs.</p> <p>Moderator: Gabriela Aguero, FINRA Corporate Financing</p> <p>Panelists: Douglas (Doug) Ellenoff, Ellenoff Grossman & Schole LLP Osamu Watanabe, Moelis & Company Jacob Yunger, FINRA Office of Financial Innovation (OFI)</p>
	<p>▶ Changing Firms Digital Experience 📺</p> <p>FINRA has created a culture of innovation and is an industry leader in the use of its technology tools and resources. Join FINRA panelists as they discuss FINRA's mission to change the digital experience for our member firms. During the session, learn about innovative ways FINRA is partnering with the industry to provide the best possible service.</p> <p>Moderator: Tigran Khrimian, FINRA Technology</p> <p>Panelists: Noah Egorin, FINRA Credentialing, Registration, Education and Disclosure (CRED) Julia McCafferty, FINRA Technology Michele Oswald, Edward Jones Jennifer Szaro, CRCP®, XML Securities, LLC</p>

	<p>▶ Gamification, Mobile Apps and Digital Engagement 📺</p> <p>Attend this session to hear how regulatory and industry experts are evaluating the rapidly changing world of digital communications and digital engagement practices. Panelists discuss risks and benefits of gamification features on broker-dealers' apps and websites. They address how firms can effectively supervise digital communications.</p> <p>Moderator: Amy Sochard, FINRA Advertising Regulation</p> <p>Panelists: Surabhi Ahmad, Ameriprise Financial Services, LLC Alexander (Alex) Gavis, Suffolk University Law School Alicia Goldin, U.S. Securities and Exchange Commission (SEC) Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p>
	<p>▶ Brokers With a Significant History of Misconduct 📺</p> <p>Join FINRA staff as they discuss the new rules concerning brokers with significant history of misconduct. Panelists review the implications of retaining or hiring brokers with such a history.</p> <p>Moderator: Michael Garawski, FINRA Office of General Counsel</p> <p>Panelists: Jennifer (Jen) Crawford, FINRA Enforcement Patricia (Pat) Dorilio, FINRA Member Supervision Eric Hebert, FINRA Member Supervision</p>
2:45 p.m. – 3:00 p.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
3:00 p.m. – 4:00 p.m.	<p>Concurrent Session VIII</p>
	<p>▶ Consolidated Audit Trail (CAT) 📺</p> <p>During this session, panelists discuss how to prepare for compliance with the consolidated audit trail (CAT), including firm obligations, deadlines and resources.</p> <p>Moderator: David (Dave) Chapman, FINRA Market Regulation</p> <p>Panelists: Shelly Bohlin, FINRA CAT LLC Doug Pratt, FINRA Market Regulation Peter (Pete) Stoehr, FINRA Market Regulation</p>
	<p>▶ Regulation Best Interest: Lessons Learned 📺</p> <p>Join FINRA staff and industry panelists as they discuss lessons learned from implementing Reg BI. Panelists share what worked, conflicts that have been identified, and examination experiences and expectations.</p> <p>Moderator: James (Jim) Wrona, FINRA Office of General Counsel</p> <p>Panelists: Evan Charkes, Bank of America Nicole McCafferty, FINRA Member Supervision Linde Murphy, M.E. Allison & Co., Inc. Emily Westerberg Russell, U.S. Securities and Exchange Commission (SEC)</p>

	<p>▶ Underwriting Trends 🗣️</p> <p>During this session, FINRA staff and industry practitioners discuss underwriting trends and observations. Panelists discuss what you need to know about equity, debt and alternative offerings, syndicate practices and developments in the regulatory environment.</p> <p>Moderator: Paul Mathews, FINRA Corporate Financing</p> <p>Panelists: Gabriela (Gaby) Aguero, FINRA Corporate Financing Leslie Gardner, J.P. Morgan Jeffrey (Jeff) Whyte, Jefferies LLC</p>
	<p>▶ 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 and industry.</p> <p>Speakers: Robert Cook, FINRA Roel Campos, Hughes Hubbard & Reed, LLP Audria Pendergrass Lee, FINRA Human Resources</p>
4:00 p.m. – 4:15 p.m.	<p>▶ Networking & Demo Break</p> <p>FINRA IDEA—Innovation, Demonstration & Engagement Area Networking With Exhibitors</p>
4:15 p.m. – 5:15 p.m.	<p>Concurrent Session IX</p>
	<p>▶ Market Structure: What Factors Are Driving Changes 🗣️</p> <p>During this session, FINRA staff and industry practitioners discuss current developments and future trends in the industry, including best execution guidance and payment for order flow issues.</p> <p>Moderator: Patrick Geraghty, FINRA Market Regulation</p> <p>Panelists: Scott Kloin, Citadel Securities Racquel Russell, FINRA Office of General Counsel Richard Wallace, LPL Financial</p>
	<p>▶ FINRA’s Membership Application Program (MAP) 🗣️</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>Moderator: Cindy Foster, FINRA Member Supervision</p> <p>Panelists: Leyna Goro, FINRA Member Supervision Eda Henries, Henries & Co. John Sakhleh, Sidley Austin, LLP</p>

	<p>▶ Cybersecurity: Emerging Industry Priorities and Threats 📺</p> <p>Cyber threats are no longer a question of if, but when, a breach will occur. It is important to have a cybersecurity plan in place, so you are ready to act if your organization experiences a data breach. Join panelists as they share areas of focus for the year ahead.</p> <p>Moderator: Brita Bayatmakou, FINRA Member Supervision</p> <p>Panelists: Brian Carter, Sigma Financial David (Dave) Kelley, FINRA Member Supervision Bryan Smith, Federal Bureau of Investigation (FBI)</p>
	<p>▶ Branch Office Inspections 📺</p> <p>Join FINRA staff and industry panelists as they share how they implemented their remote branch inspection plan using Zoom, electronic documentation review and other technological tools. During the session, panelists discuss red flags, and how they prioritize their inspections.</p> <p>Moderator: Erin Vocke, FINRA Member Supervision</p> <p>Panelists: Brooks Brown, FINRA Member Supervision Samantha Larew, Manning & Napier Investor Services, Inc. Daniel Wright, Cambridge Investment Research, Inc.</p>
5:15 p.m. – 7:15 p.m.	Reception

Wednesday, May 18	
7:30 a.m. – 12:00 p.m.	Registration & Information
7:30 a.m. – 9:00 a.m.	General Continental Breakfast
9:00 a.m. – 9:30 a.m.	<p>▶ Plenary Session V: A Conversation With the Honorable Rostin Behnam, Chairman, U.S. Commodity Futures Trading Commission (CFTC) on Cryptocurrency 🎤</p>
	<p>Join FINRA President and CEO Robert Cook and CFTC Chairman Behnam for a conversation about his agenda and the state of cryptocurrency regulation.</p> <p>Speaker: Robert Cook, FINRA Rostin Behnam, U.S. Commodity Futures Trading Commission (CFTC)</p>
9:30 a.m. – 9:45 a.m.	Networking Break
9:45 a.m. – 10:45 a.m.	<p>▶ Plenary Session VI: 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: Nathaniel Stankard, FINRA Office of the Chief Executive Officer Panelists: Belinda Blaine, Morgan Stanley Peggy Ho, Commonwealth Financial Network Wendy Lanton, Herold & Lantern Investments, Inc. John O’Connell, Goldman Sachs</p>
10:45 a.m. – 11:00 a.m.	Network Break
11:00 a.m. – 12:00 p.m.	<p>▶ Plenary Session VII: Ask FINRA Senior Staff 🎤</p>
	<p>During this session, FINRA senior staff provide updates 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 topics. Note: Firm-specific questions can be discussed one-on-one with FINRA staff during conference Office Hours.</p> <p>Moderator: Kayte Toczylowski, FINRA Member Relations and Education Panelists: Stephanie Dumont, FINRA Market Regulation Jessica Hopper, FINRA Enforcement Greg Ruppert, FINRA Member Supervision Nathaniel Stankard, FINRA Office of the Chief Executive Officer William (Bill) St. Louis, FINRA Member Supervision</p>
12:00 p.m.	Conference Adjourns

**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.

**Chairman Rostin Behnam****United States Commodity Futures Trading Commission (CFTC)**

Chairman Rostin Behnam was sworn in as the CFTC's 15th Chairman on January 4, 2022 after being unanimously confirmed by the U.S. Senate. President Biden nominated Chairman Behnam to lead the agency. Previously, Chairman Behnam served as CFTC Commissioner since September, 2017. The members of the Commission elected Commissioner Behnam as Acting Chairman effective January 21, 2021. Since joining the CFTC, Chairman Behnam has individually and as sponsor of the CFTC's Market Risk Advisory Committee (MRAC) advocated for the CFTC to use its authority and expertise to ensure the derivatives markets operate transparently and fairly for participants and customers, and innovate responsibly to address evolving market structures and products and the emergence and movement of risk across clearinghouses, exchanges, intermediaries, market makers and end-users within an appropriate oversight framework. Through his MRAC sponsorship, Chairman Behnam convened leading market experts and public interest groups to engage in public dialogue on such timely issues as global interest rate benchmark reform, central counterparty (CCP) risk and governance, evolving market structures, and since the summer of 2019, climate-related market risk. Recognizing that weather and climate present risks to economic productivity, financial stability, and household



Featured Speakers

wealth, especially in low-to-moderate income and historically marginalized communities, Chairman Behnam led the creation of the Climate-Related Market Risk Subcommittee to examine climate-related impacts on the financial system. The Subcommittee's efforts resulted in the September 2020 release of the report *Managing Climate Risk in the U.S. Financial System*, the first of-its-kind effort from a U.S. government entity. Chairman Behnam followed its release with testimony before the House Select Committee on the Climate Crisis and presentations at other venues focused on climate-related market risk and incorporating sustainability resilience into our financial systems. One of his first actions since leading the commission was to establish the first-ever Climate Risk Unit (CRU) to support the agency's mission by focusing on the role of derivatives in understanding, pricing, and addressing climate-related risk and transitioning to a low-carbon economy. Comprised of staff from across the CFTC's operating divisions and offices, the CRU represents the agency's next step in response to what has become a global call to action on tackling climate change. During his time as Commissioner, Chairman Behnam also spearheaded efforts to invigorate internal discussions on agency-wide diversity and inclusion initiatives. He remains committed to ensuring that the CFTC remains vigilant in building and maintaining an inclusive workforce, supportive of employees and reflective of the diversity in the markets it oversees and the public it serves. Chairman Behnam's arrival at the CFTC followed extensive experiences in financial and agricultural markets. As Senior Counsel to Senator Debbie Stabenow of Michigan, Chairwoman of the U.S. Senate Committee on Agriculture, Nutrition, and Forestry, he primarily focused on policy and legislative matters related to the CFTC and the U.S. Department of Agriculture, agencies within the direct jurisdictional purview of the Committee. Chairman Behnam's major responsibilities included advising Senator Stabenow on the implementation of the Dodd-Frank Wall Street Reform and Consumer Protection Act and related matters affecting the Treasury Department, the U.S. prudential regulators, and the Securities and Exchange Commission. After graduating from Georgetown University, Chairman Behnam worked as a proprietary equities trader in New York City before pursuing a Juris Doctorate at Syracuse University. During his legal studies, Chairman Behnam interned with the CFTC's Division of Enforcement in the New York Regional Office. Upon graduation, he returned to his home state of New Jersey and joined the Bureau of Securities within the state's Office of the Attorney General. Following his time with the Bureau of Securities, Chairman Behnam practiced law in New York City. Chairman Behnam lives in Baltimore with his wife and three daughters.

Featured Speakers



Martina Edwards

One of Wall Street's First Black Women Traders & Chief of Strategic Partnerships, Access to Capital for Entrepreneurs

From humble Southern beginnings to breaking barriers on Wall Street, Martina Marshall Edwards is the epitome of refusing to allow your circumstances to dictate your outcome. A finance major and graduate of Alabama's Tuskegee University, a historically black college and university, Edwards went on to become the first African-American female equity trader for Merrill Lynch and in the 200-plus-year history of the New York Stock Exchange (NYSE). It also made her the only active African-American woman seat holder among its then 1,366 members. (Before the NYSE became public in 2006, individuals and companies had to either purchase or lease a seat to serve as a broker). In 2001, the NYSE was a dynamic, fast-paced, male-dominated environment with high-stakes trading activity, a steep learning curve and little to no room for error. It also was a place, despite many obstacles, where Edwards thrived. In 2004, after three years and two promotions, she earned a unique opportunity to become a member of the NYSE on behalf of Merrill Lynch. (It would take another 13 years before the second Black woman broker—Lauren Simmons—arrived.) Edwards is a walking example of how access can dramatically shift the trajectory of a career. Many have asked, "How did the little girl who grew up in a two-bedroom mobile home in rural Alabama with livestock in the backyard make it to the Big Apple, let alone the Big Board?" Known as the "Belle of Wall Street," Martina is an inspiring and dynamic speaker. From humble financial beginnings to reporting to the NYSE the week of 9/11, Martina is no stranger to adversity. She adamantly believes that every twist and turn ultimately molded and shaped her into the resilient individual and strong leader that she is today. Edwards knows that representation matters and staunchly believes in the importance of inspiring the next generation of leaders, particularly women. An investor by trade, a common thread has been her desire to build equity through access, opportunity and exposure for underserved people and places. Edwards has always wanted to step into roles that have an impact and leave an impression on people's lives. Her 20-year career journey has spanned multiple industries from public to private equity, non-profit leadership and venture capital. Through her rewarding work as a C-suite executive at Access to Capital for Entrepreneurs (ACE), Edwards is helping to level the playing field by giving business owners a chance when others can't or won't. Like homeownership, business ownership is an asset that supports closing a widening racial wealth gap, building financial stability through a ripple effect—a collective prosperity that goes beyond the immediate gain of an individual business owner. Raising over \$25 million in grant funds in just under three years—including the largest individual and corporate gifts in ACE's history—finding ways to support traditionally underserved small business owners and entrepreneurs with capital, coaching and connections is core to her work. Martina has penned articles such as "The Fragility of Small Business" and been featured on *CNN Money*, *CNBC Make it Real*, *PrivCap*, *WABE Radio*, *The Atlanta Small Business Network* and in the *Atlanta Business Chronicle*.

Featured Speakers



Chairman Gary Gensler

U.S. Securities and Exchange Commission

Chair Gary Gensler was nominated by President Joseph R. Biden to Chair the U.S. Securities and Exchange Commission on February 3, 2021, confirmed by the U.S. Senate on April 14, 2021, and sworn into office on April 17, 2021. Before joining the SEC, Gensler was professor of the Practice of Global Economics and Management at the MIT Sloan School of Management, co-director of MIT's Fintech@CSAIL, and senior advisor to the MIT Media Lab Digital Currency Initiative. From 2017-2019, he served as chair of the Maryland Financial Consumer Protection Commission. Gensler was formerly chair of the U.S. Commodity Futures Trading Commission, leading the Obama Administration's reform of the \$400 trillion swaps market. He also was senior advisor to U.S. Senator Paul Sarbanes in writing the Sarbanes-Oxley Act (2002), and was undersecretary of the Treasury for Domestic Finance and assistant secretary of the Treasury from 1997 – 2001. In recognition for his service, he was awarded the Alexander Hamilton Award, the U.S. Treasury's highest honor. He is a recipient of the 2014 Frankel Fiduciary Prize. Prior to his public service, Gensler worked at Goldman Sachs, where he became a partner in the Mergers & Acquisition department, headed the firm's Media Group, led fixed income & currency trading in Asia, and was co-head of Finance, responsible for the firm's worldwide Controllers and Treasury efforts. A native of Baltimore, Md., Gensler earned his undergraduate degree in economics in 1978 and his MBA from The Wharton School, University of Pennsylvania, in 1979. He has three daughters.



Eileen Murray

Chair, Financial Industry Regulatory Authority

Eileen Murray most recently served as Co-Chief Executive Officer of Bridgewater Associates, LP. Prior to joining Bridgewater, she was CEO for Investment Risk Management LLC and President and Co-CEO of Duff Capital Advisors. Ms. Murray launched her professional career in 1984 at Morgan Stanley, where she held several senior positions including Controller, Treasurer, and Global Head of Technology and Operations, as well as Chief Operating Officer for the firm's Institutional Securities Group. From 2002 to 2005, she was Head of Global Technology, Operations and Product Control at Credit Suisse and served on the firm's management and executive board. Ms. Murray is a non-executive Director at HSBC, Guardian Life Insurance Company of America and Atlas Crest Investment Corporation. She holds a bachelor's degree in accounting and an honorary doctorate degree from Manhattan College.

Name	Company
Gabriela (Gaby) Aguero	FINRA Corporate Financing
Surabhi Ahmad	Ameriprise Financial Services, LLC
Brad Ahrens	FINRA Office of the Chief Executive Officer
Brad Anderson	DFPG Investments, LLC
James (Jim) Angel	McDonough School of Business, Georgetown University
Aaron Archer	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Brita Bayatmakou	FINRA Member Supervision
The Honorable Rostin Behnam	United States Commodity Futures Trading Commission (CFTC)
Ornella Bergeron	FINRA Member Supervision
Keith Bettencourt	FINRA Member Supervision
Belinda Blaine	Morgan Stanley
Terrence (Terry) Bohan	FINRA Enforcement
Shelly Bohlin	FINRA CAT, LLC
Suzanne Bond	Inland Securities Corporation
Karen Braine	FINRA Member Supervision
Brooks Brown	FINRA Member Supervision
Lance Burkett	FINRA Member Supervision
Brian Callery, CFP®, AAMS	Edward Jones
Roel Campos	Hughes Hubbard & Reed, LLP
Alan Carlisle	SoFi
Brian Carter	Sigma Financial
Robert (Bob) Chao	FINRA Member Supervision
David (Dave) Chapman	FINRA Market Regulation
Evan Charkes	Bank of America
Lisa Colone	FINRA Enforcement
Robert Cook	FINRA
Christopher (Chris) Cook	FINRA Office of the Ombudsman
Todd Coppi	FINRA Member Supervision
Chris Covington	Council of the Inspectors General on Integrity and Efficiency (CIGIE)
Elisabeth Craig	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Jennifer (Jen) Crawford	FINRA Enforcement

Speakers

Name	Company
Kris Dailey	FINRA Office of Financial and Operational Risk Policy
Kosha Dalal	FINRA Office of General Counsel
Pramit Das	FINRA Advertising Regulation
Shelly Davis	FINRA Member Supervision
Gene Davis	FINRA Member Supervision
Maureen Delaney	FINRA Office of Hearing Officers
Gene DeMaio	FINRA Market Regulation
Yves Denize	Nuveen
Danielle Derrick	FINRA Office of the Ombudsman
Patricia (Pat) Dorilio	FINRA Member Supervision
MarieDarline Dorvil	FINRA Member Supervision
Sam Draddy	FINRA Member Supervision
Ann Duguid	FINRA Office of Financial and Operational Risk Policy
Stephanie Dumont	FINRA Market Regulation
Catherine Dunn	FINRA Member Supervision
Paxton Dunn	FINRA Member Supervision
Noah Egorin	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Douglas (Doug) Ellenoff	Ellenoff Grossman & Schole LLP
Kimberly (Kim) Flanders	FINRA Advertising Regulation
Cindy Foster	FINRA Member Supervision
Jason Foye	FINRA Member Supervision
Cynthia (Cindy) Friedlander	FINRA Office of General Counsel
Michael Garawski	FINRA Office of General Counsel
Leslie Gardner	J.P. Morgan
Alexander (Alex) Gavis	Suffolk University Law School
The Honorable Gary Gensler	U.S. Securities and Exchange Commission (SEC)
Patrick Geraghty	FINRA Market Regulation
Michael Gerena	FINRA Member Supervision
Sarah Gill	FINRA Office of the Ombudsman
Ira Gluck	FINRA Advertising Regulation
Alicia Goldin	U.S. Securities and Exchange Commission (SEC)
Susanne Goldsmith	FINRA Member Relations and Education

Speakers

Name	Company
Ivy Gong	Morgan Stanley
Leyna Goro	FINRA Member Supervision
Manolita Gorres	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Tyler Gray	MicroVentures Marketplace Inc.
Sarah Green	The Vanguard Group Inc.
Stephanie Gregory	FINRA Advertising Regulation
Tina Gubb	FINRA Enforcement
Terrie Hanna	Fidelity Investments
Ahnuf Hasan	FINRA Technology
Eric Hebert	FINRA Member Supervision
Eda Henries	Henries & Co.
Brooke Hickman	FINRA Member Supervision
Peggy Ho	Commonwealth Financial Network
Melissa Hodgman	U.S. Securities and Exchange Commission (SEC)
Julie Hoffman	FINRA Member Relations and Education
Jessica Hopper	FINRA Enforcement
Sheelagh Howett	Cantella & Co., Inc.
Bri Joiner	Municipal Securities Rulemaking Board (MSRB)
Sarah Kwak	FINRA Office of General Counsel
David (Dave) Kelley	FINRA Member Supervision
Christopher (Chris) Kelly	FINRA Enforcement
Stefanie Kendall	FINRA Dispute Resolution
Tigran Khrimian	FINRA Technology
Rajeev Khurana	Apex Clearing Corporation
Mark Kim	Municipal Securities Rulemaking Board (MSRB)
Scott Kloin	Citadel Securities
Brian Kowalski	FINRA Member Supervision
Jon Kroeper	FINRA Market Regulation
Eren Kurshan	Morgan Stanley
Yuliana Landers	FINRA Member Supervision
Wendy Lanton	Herold & Lantern Investments, Inc.
Samantha Larew	Manning & Napier Investor Services, Inc.
Carissa Laughlin	FINRA Dispute Resolution
Minh Le	FINRA Corporate Financing

Speakers

Name	Company
Denzil Lee	FINRA Office of the Ombudsman
Mathieu (Matt) Lefevre	FINRA Member Relations and Education
Nicole Lefort	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Mariam Lisker	FINRA Office of the Corporate Secretary Office
Hio Lou	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Michael Lyons	National Financial Services
Michael (Mike) Macchiaroli	U.S. Securities and Exchange Commission (SEC)
Cathleen Mack	Solomon Partners
Michael (Mike) MacPherson	FINRA Member Supervision
Scott Maestri	FINRA Member Supervision
John Martino	FINRA Member Supervision
Jordan Materna	FINRA Member Supervision
Paul Mathews	FINRA Corporate Financing
Julia McCafferty	FINRA Technology
Nicole McCafferty	FINRA Member Supervision
Joseph (Joe) McDonald	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Michael S. McDonald	FINRA CAT, LLC
Andrew McElduff	FINRA Member Supervision
Thomas (Tom) Mellett	FINRA Member Supervision
Thomas (Tom) Mierswa	Morgan Stanley
Danny Mileto	FINRA Market Regulation
Robert (Rob) Molinari	Commonwealth Financial Network
Patricia Monterosso	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Kyle Morse	FINRA Market Regulation
Stephanie Moskowitz	FINRA Member Supervision
Linde Murphy	M.E. Allison & Co., Inc.
Nicole Murphy	Cash App Investing LLC
Eileen Murray	Chairperson and FINRA Public Governor
John O'Connell	Goldman Sachs
Nwamaka (Amaka) Omenka	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Michele Oswald	Edward Jones

Speakers

Name	Company
James (Jim) Papagiannis	InspereX
James Parks	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Jessica Pastorino	M&A Securities Group, Inc.
Audria Pendergrass Lee	FINRA Human Resources
Jackie Perrell	FINRA Member Supervision
Ola Persson	FINRA Market Regulation
Doug Pratt	FINRA Market Regulation
Joseph (Joe) Price	FINRA Corporate Financing & Advertising Regulation
Steven (Steve) Price	FINRA Member Supervision
Meaghan Reim-Strange	FINRA Member Supervision
Gina Rettagliata	FINRA Member Supervision
Matthew (Matt) Reyburn	FINRA Member Supervision
Kelly Rock, Esq.	U.S. Securities and Exchange Commission (SEC)
Sandi Ronston	FINRA Technology
Sarah Rose	FINRA Technology
Gillian Rosenstein	FINRA Member Relations and Education
Greg Ruppert	FINRA Member Supervision
Emily Westerberg Russell	U.S. Securities and Exchange Commission (SEC)
Racquel Russell	FINRA Office of General Counsel
John Sakhleh	Sidley Austin, LLC
Joel Sauer, CFA	Charles Schwab & Co., Inc.
John Saxton	FINRA Market Regulation
Thomas (Tom) Selman, CFA	Scopus Financial Group
Kalyan Sengupta	J.P. Morgan
Gargi Sharma	FINRA Member Supervision
Joseph (Joe) Sheirer	FINRA Member Supervision
Matthew (Matt) Slovik	Morgan Stanley
Bryan Smith	Federal Bureau of Investigation (FBI)
Amy Sochard	FINRA Advertising Regulation
Miko Somborac	FINRA Technology
William (Bill) St. Louis	FINRA Member Supervision
Nathaniel Stankard	FINRA Office of the Chief Executive Officer
Peter (Pete) Stoehr	FINRA Market Regulation

Speakers

Name	Company
Kara Suro	Charles Schwab & Co., Inc.
Kelly Swanstrom	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Jennifer Szaro, CRCP®	XML Securities, LLC
Tina Tambiah	FINRA Member Supervision
Irmina Tan	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Susan Tibbs	FINRA Market Regulation
Kayte Toczylowski	FINRA Member Relations and Education
Alexandra (Lex) Toton	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Kathryn Travers	FINRA Member Supervision
Amber Turner	FINRA CAT, LLC
Jamie Udinson	FINRA Member Supervision
Tanya Viridy	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Erin Vocke	FINRA Member Supervision
Richard Wallace	LPL Financial
Osamu Watanabe	Moelis & Company
Thomas (Tom) Weaverling	FINRA Credentialing, Registration, Education and Disclosure (CRED)
Jeffrey (Jeff) Whyte	Jefferies LLC
Douglas (Doug) Wilburn	Valmark Securities, Inc.
Kara Williams	FINRA Member Supervision
Jeanette Wingle	FINRA Office of General Counsel
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)
Daniel Wright	Cambridge Investment Research, Inc.
James (Jim) Wrona	FINRA Office of General Counsel
Jacob Yunger	Office of Financial Innovation (OFI)

FINRA IDEA—Innovation, Demonstration and Engagement Area

FINRA staff demonstrate various FINRA systems and online resources. Representatives from several FINRA departments will also be available to answer your questions.

- ▶ Certified Regulatory and Compliance Professional (CRCP)[®] Program
- ▶ Compliance Tools and Resources
- ▶ Creating Value for Member Firms and Investors With Data
- ▶ Cybersecurity Risks and Effective Practices
- ▶ Digital Transformation Experience: Together, We're Building the Future
- ▶ Dispute Resolution Services
- ▶ FINRA CAT, LLC
- ▶ How To Get Involved with FINRA
- ▶ Managing Individual Registration Information with FinPro
- ▶ Membership Application Program (MAP) Group
- ▶ Moving Forward with Continuing Education, Exams and Registrations
- ▶ Office of the Ombudsman

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.

PLATINUM LEVEL

- Smarsh

GOLD LEVEL

- Proofpoint

SILVER LEVEL

- ACA Group
- Vidyad

EXHIBITORS

- Artisan Software, Inc.
- Bates Group LLC
- BEHAVOX
- Business Information Group (BIG)
- Charles Schwab & Co., Inc.
- ComplianceEdge
- DFP Partners
- Docupace
- Elinphant Compliance a Softek Company
- Eventus
- Foreside
- Global Relay
- Kaplan Financial Education
- Knopman Marks
- Mercer
- MyComplianceOffice (MCO)
- n-Tier Financial Services LLC
- NCC Group
- NICE
- NSCP
- PageFreezer Software
- Pass Perfect
- QuestCE
- Red Oak Compliance Solutions
- RegEd
- Saifr
- Shield Financial Compliance Inc.
- SiteQuest Technologies
- Solomon Exam Prep
- STC
- SteelEye
- Sterling
- StoneX Financial Inc.
- Theta Lake
- Velox Clearing
- Withum

Office Hours

Office Hours

Office Hours provides an opportunity for conference attendees to meet one-on-one with FINRA staff. Several FINRA employees will be available to answer and discuss firm-specific questions.

MONDAY, MAY 16		
	Table #1	Table #2
11:15 a.m. – 12:15 p.m.	Advertising Regulation Speakers: Pramit Das and Ira Gluck	Firm Grouping: Diversified, Carrying & Clearing Speakers: John Martino and Michael MacPherson
1:45 p.m. – 2:45 p.m.	Firm Grouping: Capital Markets and Investment Banking Speakers: Tom Mellett and Matthew Reyburn	Financial Responsibility Rules Speakers: Kris Dailey and Ann Duguid
3:00 p.m. – 4:00 p.m.	National Cause and Financial Crimes Detection Programs (NCFC) Speakers: Keith Bettencourt and Gargi Sharma	Firm Grouping: Retail Speakers: Lance Burkett and Yuliana Landers

TUESDAY, MAY 17		
	Table #1	Table #2
11:00 a.m. – 12:00 p.m.	Firm Grouping: Trading & Execution Speakers: Kyle Morse and Tim Thompson	Financial Technology (FinTech) Speakers: Haime Workie and Jacob Yunger
1:45 p.m. – 2:45 p.m.	National Cause and Financial Crimes Detection Programs (NCFC) Speakers: Keith Bettencourt and Jason Foye	Firm Grouping: Retail Speakers: Andrew McElduff and Robert Chao
3:00 p.m. – 4:00 p.m.	Firm Grouping: Capital Markets and Investment Banking Speakers: Catharine Dunn and Matthew Reyburn	Firm Grouping: Diversified, Carrying & Clearing Speakers: John Martino and Michael MacPherson