



2022 Annual Conference

May 16 –18 | Washington, DC | Hybrid Event

FINRA's Examination and Risk Monitoring Program

Monday, May 16, 2022

1:45 p.m. – 2:45 p.m.

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.

Moderator: Ornella Bergeron
Senior Vice President, Head of Member Supervision Risk Monitoring
FINRA Member Supervision

Panelists: Paxton Dunn
Director, Risk Monitoring Standards
FINRA Member Supervision

Andrew McElduff
Senior Director, Retail Risk Monitoring
FINRA Member Supervision

Joseph Sheirer
Vice President, Head of Firm Examination Program
FINRA Member Supervision

FINRA's Examination and Risk Monitoring Program Panelists Bios:

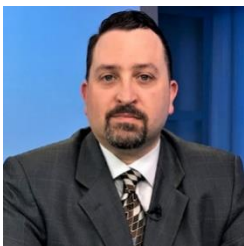
Moderator:



Ornella Bergeron is Senior Vice President and Firm Group Leader for FINRA member firms assigned to the Diversified, Carrying and Clearing, Retail, and Capital Markets firm groupings. In this capacity, she has responsibility for the Single Points of Accountability and Risk Monitoring Program teams for these firms, which includes the assessment of financial, operational, business conduct, and trading risks. She and her team are also responsible for coordinating with Examination Program Management on the strategy and execution of related examinations. Prior to this role, Ms. Bergeron was a Unit Leader in the Risk Oversight and Operational Regulation group of Member Supervision responsible for the Risk Monitoring and

Financial and Operational examinations of approximately 200 of FINRA's largest member firms. She has been with FINRA since its inception in 2007. Prior to joining FINRA, she spent 19 years in the Division of Member Firm Regulation at the New York Stock Exchange in Risk Monitoring management and examination roles. Ms. Bergeron holds a BBA in Finance from Iona College.

Panelists:



Paxton Dunn, Director, Risk Monitoring Standards, has spent more than 20 years in the financial services industry with 18 years at FINRA. In July 2020 Mr. Dunn began his current role, where he is responsible for management of centralized risk monitoring functions and ensuring policies and procedures are appropriate and consistent across FINRA's risk monitoring program. Prior to his current role, he was a Risk Monitoring Analyst in Dallas Office for 10 years and an examiner in the Dallas office for seven years. Before coming to FINRA, Mr. Dunn spent 18 months as an Account Executive for CitiStreet. In 2002, Mr. Dunn earned his BBA in Finance from

Angelo State University. In May 2017 he became a Certified Anti-Money laundering Specialist (CAMS), and in June 2021 a Certified Fraud Examiner (CFE). Outside of FINRA, Mr. Dunn is involved with various charities, and is currently a Board Member for the Epilepsy Foundation of Texas.



Andrew McElduff is Senior Director and Single Point of Accountability (SPOA) of Risk Monitoring within the Retail Firm Group for FINRA's Member Supervision Department. In his role, Andrew oversees three Risk Monitoring teams responsible for monitoring and assessing risk across the Retail - Private Placement and Retail – Pooled Investment & Variable Annuity firms. Andrew is also responsible for, and partners with the Examination program leaders, determining the annual exam plan and the appropriate scope of each exam within the Private Placement and Pooled Investment & Variable Annuity firms. Prior to his role in Risk Monitoring, Andrew

oversaw Examination teams in FINRA's New York office. Those teams were responsible for conducting the cycle, branch, and cause examinations of member firms across all firm sizes and business lines. Andrew joined FINRA in September 2007 after working at a startup handling day to day operations and managing a national sales team. Andrew is a graduate of the University of North Carolina at Chapel Hill.



Joseph J. Sheirer currently oversees FINRA's Member Supervision Firm Examination program. Previously, Mr. Sheirer was the Regional Director of FINRA's North Region with offices in Boston, Philadelphia and Woodbridge; developed and oversaw FINRA's national Membership Application Program group; and worked in varying capacities in a number of other FINRA departments including Risk Oversight & Operational Regulation, Continuing Education, Testing, and Qualifications & Registration. Mr. Sheirer is a graduate of Brooklyn Law School and Drew University and is a member of the Bars of the States of New York and New Jersey.

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Panelists

○ Moderator

- Ornella Bergeron, Senior Vice President, Head of Member Supervision Risk Monitoring, FINRA Member Supervision

○ Panelists

- Paxton Dunn, Director, Risk Monitoring Standards, FINRA Member Supervision
- Andrew McElduff, Senior Director, Retail Risk Monitoring, FINRA Member Supervision
- Joseph Sheirer, Vice President, Head of Firm Examination Program, FINRA Member Supervision



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Resources:

- FINRA Unscripted Podcast - Single Points of Accountability: Navigating Firms' Experiences with FINRA
www.finra.org/media-center/finra-unscripted/single-point-of-accountability
- FINRA Unscripted Podcast - Report on FINRA's Examination and Risk Monitoring Program | A Comprehensive Reference Item for Firms
www.finra.org/media-center/finra-unscripted/2022-report-examination-and-risk-monitoring-program
- 2022 Report on FINRA's Examination and Risk Monitoring Program (February 2022)
www.finra.org/rules-guidance/guidance/reports/2022-finras-examination-and-risk-monitoring-program