



2022 FINRA **Small Firm Conference**

The Small Firm Conference focuses on small firms' practices and tips for complying with FINRA rules. Throughout the event, attendees have the opportunity to discuss small firm topics with FINRA senior staff.

Agenda

All times are listed in Pacific Time. All sessions are being recorded.



Wednesday, November 9	
12:00 p.m.– 5:30 p.m.	Registration
2:00 p.m. – 2:05 p.m.	<p>► Welcome Remarks</p> <p>Speaker: Kayte Toczylowski, FINRA Member Relations and Education</p>
2:05 p.m. – 2:45 p.m.	<p>► Fireside Chat With FINRA President and CEO Robert Cook, Executive Vice President of Member Supervision Greg Ruppert, and Vice President of Member Relations and Education Kayte Toczylowski</p> <p>Moderator: Kayte Toczylowski, FINRA Member Relations and Education</p> <p>Panelists: Robert Cook, FINRA Greg Ruppert, FINRA Member Supervision</p>
2:45 p.m. – 3:00 p.m.	Break
3:00 p.m. – 4:00 p.m.	<p>► FINRA’s Examination, Risk Monitoring, and Enforcement Update</p> <p>Join FINRA staff as they review various examination and enforcement trends for small firms. During the session, panelists provide guidance on effective regulatory and compliance practices and share lessons learned from recent enforcement cases. Panelists also discuss effective controls, procedures, and processes small firms should incorporate to address supervision in the remote work environment.</p> <p>Moderator: Yvette Panetta, FINRA Member Supervision</p> <p>Panelists: Ornella Bergeron, FINRA Member Supervision Michael (Mike) Manly, FINRA Enforcement Michael Solomon, FINRA Member Supervision Tim Thompson, FINRA Market Regulation</p>
4:00 p.m. – 4:15 p.m.	Break
4:15 p.m. – 5:15 p.m.	<p>► CAT & CAIS Roadmap</p> <p>During this session, FINRA staff discuss current progress and reporting obligations for the Consolidated Audit Trail (CAT), as well as effective practices and resources on the Customer & Account Information System (CAIS) for small and introducing firms.</p> <p>Moderator: Peter Stoehr, FINRA Market Regulation</p> <p>Panelists: Dave Chapman, FINRA Market Regulation Paul McKenney, FINRA CAT Business Christy Moccia, Clear Street LLC Nadja Skelton, FINRA Member Supervision</p>
5:30 p.m. – 7:00 p.m.	Networking Reception

Thursday, November 10	
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 10:00 a.m.	<p>► Cybersecurity Guidance</p> <p>It is crucial that small financial firms take proper cybersecurity measures to protect their clients and their firm. During this session, panelists provide risk-based, threat-informed effective practices applicable to small firms and supportive of their overall business model.</p> <p>Moderator: Brita Bayatmakou, FINRA Member Supervision</p> <p>Panelists: Wendy Lanton, Herold & Lantern Investments, Inc. Greg Markovich, FINRA Member Supervision Jennifer Szaro, XML Securities</p>
10:00 a.m.– 10:15 a.m.	Break
10:15 a.m.– 11:15 a.m.	<p>► Regulation Best Interest and Form CRS</p> <p>During this session, panelists discuss key issues regarding the SEC’s Regulation Best Interest (Reg BI) and Form CRS. Panelists provide practical advice, lessons learned, conflicts that have been identified, and examination experiences and expectations from implementing Reg BI and Form CRS.</p> <p>Moderator: William (Bill) St. Louis, FINRA Member Supervision</p> <p>Panelists: Nicole McCafferty, FINRA Member Supervision Linde Murphy, M.E. Allison & Co, Inc. Joseph (Joe) Savage, Office of General Counsel</p>
11:15 a.m.– 11:30 a.m.	Break
11:30 a.m.– 12:30 p.m.	<p>► Succession Planning: What to Consider</p> <p>It’s never too soon to start succession planning. While many business owners may picture a gradual retirement, and exit, from their companies, sometimes life does not go as planned. A sudden event, without a succession plan in place, can be catastrophic. Join FINRA staff and industry panelists as they share effective practices and practical strategies for starting the business succession planning process.</p> <p>Moderator: Andrew McElduff, FINRA Member Supervision</p> <p>Panelists: Lisa Roth, Monahan & Roth, LLC Joseph (Joe) Sheirer, FINRA Member Supervision Jeanette Wingler, FINRA Market Regulation</p>
12:30 p.m. – 1:15 p.m.	Networking Lunch With Peers, FINRA Board Small Firm Governors, and Small Firm Advisory Committee (SFAC) Members
1:15 p.m. – 1:45 p.m.	Dessert With Exhibitors

1:45 p.m. – 2:45 p.m.	<p>► Getting a Handle on Crypto Assets</p> <p>Join FINRA staff as they discuss the rapidly evolving developments in the areas of crypto assets. Panelists address FINRA’s response to adapting their regulatory program to protect investors in this highly dynamic environment, as well as Membership Application requirements, FINRA’s Outside Business Activities (OBA) and other rules small firms should consider when seeking to become involved in this space.</p> <p>Moderator: Omer Meisel, FINRA Member Supervision</p> <p>Panelists: Matthew Reyburn, FINRA Market Supervision Jamie Udinson, FINRA Member Supervision Armando Valés, FINRA Membership Application Program (MAP)</p>
2:45 p.m. – 3:00 p.m.	Break
3:00 p.m. – 4:00 p.m.	<p>► Content Based Networking</p> <p>During this time, attendees have the opportunity to meet and discuss the specific session topics with the session panelists and other conference attendees. The content-based networking rooms will be less structured than the conference session which will allow attendees to participate in the conversation instead of listening. Discussion rooms are designed as a low-pressure format, to assist attendees with conversations and networking. Attendees should navigate to the room where the content is related to their interest. Please note: The content-based networking topics will be offered concurrently and will not be recorded.</p> <p>Topics include: CAT/CAIS, Cybersecurity, Examination, Risk Monitoring and Enforcement Program, and Regulation Best Interest</p>
4:00 p.m.	Conference Adjourns

Exhibitors and Registration

Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- ComplianceEdge
- DFP Partners
- EAI Information Systems
- Global Relay
- Hilltop Securities Clearing Services
- Orion
- Raymond James & Associates
- Red Oak Compliance Solutions
- Renaissance Regulatory Services (RRS)
- Saifr
- Smarsh

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email Jeff.Arcuri@finra.org to request a conference exhibitor package.

Registration

How to Register

To register, visit www.finra.org/smallfirm22 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

Full refunds for registration fees will be granted to written requests received 14 days or more prior to the start of the conference. Refunds will not be granted after October 6, 2022.



CONTINUING EDUCATION (CE) CREDITS

The Small Firm Conference qualifies for Certified Regulatory and Compliance Professional (CRCP®) Continuing Education (CE) Credits—plus earn a Continuing Legal Education (CLE) CE voucher.

Fees

In Person—Individual	
FINRA Member Small Firm must provide valid CRD #	\$495
Non-Member	\$1,195
Government / Regulator	\$495

In Person – Group* (Per Person)	
FINRA Member Small Firm must provide valid CRD #	\$370
Non-Member	\$1,010

*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

Virtual Attendee	
FINRA Member must provide valid CRD #	\$100
FINRA Member (Group) must provide valid CRD #	\$50
Non-Member	\$200
Non-Member (Group)	\$150
Government / Regulator	\$100

*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in the registration system.

Contact Information

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

Hotel Information

Hotel Information

The 2022 Small Firm Conference takes place at:

Fairmont Miramar Hotel & Bungalows, Santa Monica
101 Wilshire Boulevard
Santa Monica, CA 90401

Accommodations

A room block is available at the Fairmont Miramar Hotel & Bungalows, Santa Monica at the special room rate of \$365 per night, plus tax. The rate is available until October 24, 2022, or until the room block is sold out.

Room Reservation Process for FINRA Programs

To reserve a room at the conference hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please contact us with any additional questions.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary. Please note that hotel reservations, cancellations, and charges are the attendee's responsibility.

Speakers as of 10/25/2022

Name	Company
Brita Bayatmakou	FINRA
Ornella Bergeron	FINRA
Dave Chapman	FINRA
Robert Cook	FINRA
Wendy Lanton	Harold & Lantern Investments, Inc.
Michael (Mike) Manly	FINRA
Greg Markovich	FINRA
Nicole McCafferty	FINRA
Andrew McElduff	FINRA
Paul McKenney	FINRA
Omer Meisel	FINRA
Christy Moccia	Clear Street LLC
Linde Murphy	M.E. Allison & Co, Inc.
Yvette Panetta	FINRA
Lisa Roth	Xton Financial
Greg Ruppert	FINRA
Joseph (Joe) Savage	FINRA
Joe Sheirer	FINRA
Nadja Skelton	FINRA
Michael Solomon	FINRA
William (Bill) St. Louis	FINRA
Peter Stoehr	FINRA
Jennifer Szaro	XML Securities
Kayte Toczylowski	FINRA
Tim Thompson	FINRA
Jeanette Wingler	FINRA