

Digital Communications and Social Media

Friday, October 21, 2022

9:45 a.m. - 10:45 a.m.

In the rapidly developing world of digital marketing, how can firms stay in compliance? Can firms communicate relevant, meaningful information in the digital age? Attend this session to experience how industry and regulatory experts are grappling with these challenges. The panel covers current topics including how firms engage technology to address their compliance obligations and creative ways to use effective disclosure.

Moderator:

Stephanie Gregory
Associate Director
FINRA Advertising Regulation

Panelists:

Stephen Bard
Senior Vice President and Compliance Senior Director of Social Media and
Communications Compliance - Wealth and Investment Management Division
Wells Fargo Wealth and Investment Management

Surabhi Ahmad
Vice President, Compliance
Ameriprise Financial Services, LLC

Nancy Damiano
Principal Analyst
FINRA Advertising Regulation

Digital Communications and Social Media Panelist Bios:

Moderator:



Stephanie Gregory is Associate Director of the Complex Review Team in FINRA's Advertising Regulation Department. Ms. Gregory's primary responsibility is managing staff members dedicated to the review of matters involving complex products and novel regulatory concerns. Her team provides support to other FINRA departments in connection with firm examinations and enforcement proceedings that involve communications with the public. Ms. Gregory joined the Advertising Regulation Department in 2004. She received her Bachelor's degree in Economics and Political Science from Boston University, and her law degree from Pennsylvania State University Dickinson School of Law.

Panelists:



Stephen R. Bard is a Senior Vice President and Compliance Senior Director of Social Media and Communications Compliance for Wells Fargo's Wealth and Investment Management division. He leads the oversight of the Firm's communication policies and procedures for their multiple broker dealer/investment advisor dual registrants, banking, lending, and trust; separate registered investment advisor, and clearing services. With over 25 year's industry experience, he is responsible for managing the development and implementation of a risk-based compliance program to meet federal and state regulatory requirements. His team annually reviews 70,000 pieces of communications including digital marketing submissions from social media, mobile and e-communications. He currently chairs the FINRA's Public Communications Committee; was a member of their Social Media taskforce, and participated in their BrokerCheck hyperlink working group. In addition to communication related issues, he provides guidance on registered representative access permissions, e-tools, telemarketing, privacy, and books and records requirements. Stephen's office is located in St Louis, MO.



Surabhi Ahmad is Vice President, Compliance at Ameriprise Financial. She leads a global team charged with the compliance review of advertising, marketing and communication materials for Ameriprise and its insurance and asset management businesses, RiverSource and Columbia Threadneedle Investments. She also leads a team of compliance professionals supporting the distribution of U.S. and global products for Columbia Threadneedle through intermediary and institutional channels. Based in Boston, Ms. Ahmad joined Ameriprise Financial in 2011. She has spent the last 24 years in risk and compliance related roles within the financial services industry including leadership roles at State Street Global Advisors and Fidelity Investments. She has also worked at international firms in Singapore and India supporting clients with trade finance, immigration and corporate law needs. Her diverse and international experience has enabled her to provide a global perspective to the multiple organizations she's been a part of. Ms. Ahmad received a B.S. from Calcutta University and a Professional Law Certification from the Delhi C.S. Institute in India. She holds the Series 7 and Series 24 securities license with FINRA.



Nancy Damiano is a Principal Analyst in FINRA's Advertising Regulation Department. Her primary responsibilities include the review of complex communications for compliance with applicable advertising rules. She also assists with training staff and has been a speaker at FINRA's Advertising Regulation Conference since 2011. Prior to joining FINRA, she was a registered principal and holds the Series 7, 24 and 66 registrations. Mrs. Damiano holds a Master's degree in business administration from Strayer University and a Bachelor's degree in government administration from Christopher Newport University.

2022 FINRA Advertising Regulation Conference
October 20-21, 2022 | Washington, DC | Hybrid Event

Digital Communications and Social Media

Panelists

○ Moderator

- Stephanie Gregory, Associate Director, FINRA Advertising Regulation

○ Panelists

- Stephen Bard, Senior Vice President and Compliance Senior Director of Social Media and Communications Compliance - Wealth and Investment Management Division, Wells Fargo Wealth and Investment Management
- Surabhi Ahmad, Vice President, Compliance, Ameriprise Financial Services, LLC
- Nancy Damiano, Principal Analyst, FINRA Advertising Regulation

To Access Polling

- **Please get your devices out:**

- Type the polling address, <https://finra.cnf.io/sessions/ancf> into the browser or scan the QR code with your camera.



- Select your polling answers.

Do you subscribe to a print version of a newspaper?

A. Yes

B. No

Does your firm use virtual tools such as conferencing platforms or visual aids/chat features with clients?

A. Yes

B. No

Does your firm partner with Finfluencers?

A. Yes

B. No

Does your firm offer a referral program?

A. Yes

B. No



Digital Communications and Social Media

Friday, October 21, 2022

9:45 a.m. - 10:45 a.m.

Resources

- Frequently Asked Questions About Advertising Regulation
<https://www.finra.org/rules-guidance/guidance/faqs/advertising-regulation>
- Regulatory Notice 11-39: Social Media Websites and the Use of Personal Devices for Business Communications
<https://www.finra.org/sites/default/files/NoticeDocument/p124186.pdf>
- Regulatory Notice 10-06: Guidance on Blogs and Social Networking Web Sites
<https://www.finra.org/rules-guidance/notices/10-06>
- Regulatory Notice 17-18: Guidance on Social Networking Websites and Business Communications
<https://www.finra.org/rules-guidance/notices/17-18>
- Social Media influencers, Customer Acquisition, and Related Information Protection
<https://www.finra.org/rules-guidance/guidance/targeted-examination-letters/social-media-influencers-customer-acquisition-related-information-protection>