



2022 FINRA Firm Grouping Conference

FINRA Firm Grouping Conference is a one-day conference 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 conference includes thoughtful discussions around the future landscape of the financial services industry. In-person attendees have access to breakout sessions tailored to their firm grouping. **Please note:** Only plenary sessions will be available to virtual attendees.

Agenda

All times are listed in Eastern Time. Plenary Sessions are being recorded. 

Wednesday, November 30	
3:00 p.m. – 5:30 p.m.	Registration
5:00 p.m. – 7:00 p.m.	Networking Reception
Thursday, December 1	
7:30 a.m. – 4:00 p.m.	Registration and Information Stations
7:30 a.m. – 9:30 a.m.	Networking Breakfast
9:30 a.m. – 10:00 a.m.	▶ Plenary I: Welcome Remarks and Fireside Chat 
	<p>Vice President of FINRA Member Relations and Education Kayte Toczykowski opens the conference and then hosts a fireside chat with FINRA President and CEO Robert Cook and Executive Vice President of Member Supervision Greg Ruppert.</p> <p>Moderator: Kayte Toczykowski, FINRA Member Relations and Education</p> <p>Speakers: Robert Cook, FINRA President and Chief Executive Officer Greg Ruppert, FINRA Member Supervision</p>
10:00 a.m.– 10:15 a.m.	Break
10:15 a.m.– 11:15 a.m.	▶ Plenary II: Ask Risk Monitoring and Examination Leaders 
	<p>During this session, FINRA Member Supervision and Market Supervision senior staff provide an update on key regulatory issues. Topics of discussion will include Reg BI/Form CRS, Remote Supervision and other key topics.</p> <p>Moderator: Abby Slonecker, FINRA Member Supervision</p> <p>Panelists: Ornella Bergeron, FINRA Member Supervision Michael Solomon, FINRA Member Supervision William St. Louis, FINRA Member Supervision Tim Thompson, FINRA Member Supervision</p>
11:15 a.m.– 11:30 a.m.	Break
11:30 a.m.– 12:30 p.m.	▶ Concurrent Sessions I
	<p>▶ Capital Markets and Investment Banking Offering Due Diligence Considerations</p> <p>In this session, panelists discuss issues related to securities offerings, including due diligence, insider trading and conflicts of interest.</p> <p>Moderator: Lance Burkett, FINRA Member Supervision</p> <p>Panelists: Stephen Berkeley, Loop Capital Markets Karen Braine, FINRA Member Supervision Jessica Pastorino, M&A Securities Group, Inc. Laura Trotz, FINRA Member Supervision</p>

For more information and to register, please visit www.finra.org/firmgrouping22

	<p>► Diversified and Carrying & Clearing Exception Trends Across the Firm Grouping, Including FINOP and Business Conduct</p> <p>Join panelists in a discussion about exception trends across the Diversified and Carrying & Clearing firm grouping, including a discussion of FINOP and business conduct.</p> <p>Moderator: Brian Kowalski, FINRA Member Supervision</p> <p>Panelists: John Edmonds, FINRA Member Supervision Jeffrey Fortune, FINRA Member Supervision Debra Jastredowski, FINRA Member Supervision</p>
	<p>► Retail Navigating FinTech and Digital Assets for Retail Firms</p> <p>This session addresses challenges that both firms and investors face as they navigate a dynamic FinTech and Digital Asset landscape. Panelists discuss recent developments and provide helpful tools and effective practices as the industry continues to evolve.</p> <p>Moderator: Erin Vocke, FINRA Member Supervision</p> <p>Panelists: Brian Fraioli, Securitize Markets, LLC Jesse Gossett, FINRA Member Supervision Manuel Rosario, FINRA Member Supervision Jamie Udinson, FINRA Member Supervision</p>
	<p>► Trading & Execution CAT and CAIS: What You Need to Know</p> <p>This session provides the opportunity to learn more about CAT reporting and preparing for the upcoming CAIS reporting deadline.</p> <p>Moderator: Peter Stoehr, FINRA Member Supervision</p> <p>Panelists: Timothy MacDonald, FINRA Member Supervision Paul McKenney, FINRA CAT Nadja Skelton, FINRA Member Supervision</p>
12:30 p.m. – 1:45 p.m.	Networking Lunch

INFORMATION STATIONS

Staff from a variety of FINRA departments will be available to speak informally with attendees about FINRA programs including:

- [Continuing Education and FinPro](#)
- [Diversity, Equity and Inclusion](#)
- [Machine Readable Rulebook](#)
- [Membership Application Program \(MAP\)](#)
- [Technology—Data Collection and FINRA Gateway](#)
- [Vulnerable Adults and Seniors Team](#)

1:45 p.m. – 2:45 p.m.	<p>▶ Concurrent Sessions II</p>
	<p>▶ Capital Markets and Investment Banking Financial and Operational (FINOP) Topics</p> <p>Join panelists for a discussion on topics related to firm financial and operational requirements. Topics include Revenue Recognition (ASC 606), receivables from non-broker-dealers, capital withdrawals, and firm commitment underwritings and their net capital implications.</p> <p>Moderator: Kathryn Travers, FINRA Member Supervision</p> <p>Panelists: Catherine Dunn, FINRA Member Supervision Robert Sulik, FINRA Member Supervision</p>
	<p>▶ Diversified and Carrying & Clearing Complex Products—Due Diligence and Controls Environment</p> <p>In this session, panelists discuss complex products of interest to the Diversified and Carrying & Clearing firm grouping, including discussions related to due diligence and the controls environment.</p> <p>Moderator: Scott Gilbert, FINRA Member Supervision</p> <p>Panelists: James Reese, FINRA Member Supervision Joseph Sheirer, FINRA Member Supervision</p>
	<p>▶ Retail Communications With the Public: Understanding the Challenges</p> <p>Panelists discuss the challenges related to communications with the public created by remote work and the rise of more retail investors utilizing electronic means of communications.</p> <p>Moderator: John Hickey, FINRA Member Supervision</p> <p>Panelists: Brooks Brown, FINRA Member Supervision Nathan Ganousis, Edward Jones Elizabeth Page, FINRA Member Supervision Amy Sochard, FINRA Advertising Regulation</p>
	<p>▶ Trading & Execution Trading and Execution Current Topics</p> <p>Join panelists as they discuss current topics related to trading and execution from a FINRA and industry perspective.</p> <p>Moderator: Tim Thompson, FINRA Member Supervision</p> <p>Panelists: Susan Lee, FINRA Member Supervision Jonathan Milla, FINRA Member Supervision</p>
2:45 p.m. – 3:00 p.m.	Break

3:00 p.m. – 4:00 p.m.	<p>▶ Concurrent Sessions III</p>
	<p>▶ Capital Markets and Investment Banking Common Misconceptions of Applicability</p> <p>Panelists discuss common misconceptions of the applicability of SEC and FINRA rules and regulations, including, Reg BI and Form CRS, the CIP and Customer Due Diligence rules, and the AML Independent Test as related to the Capital Markets and Investment Banking firm grouping.</p> <p>Moderator: Thomas Mellett, FINRA Member Supervision</p> <p>Panelists: Syed Bukhari, FINRA Member Supervision Patricia Dorilio, FINRA Membership Application Program (MAP) Elliot Henslovitz, FINRA Member Supervision</p>
	<p>▶ Diversified and Carrying & Clearing Ask Me Anything with Diversified and Carrying & Clearing Senior Leaders</p> <p>During this session, Diversified and Carrying & Clearing senior staff provide an update on key regulatory issues and answer attendees' questions.</p> <p>Moderator: Eric Chandler, FINRA Member Supervision</p> <p>Panelists: Scott Gilbert, FINRA Member Supervision Brian Kowalski, FINRA Member Supervision John Martino, FINRA Member Supervision</p>
	<p>▶ Retail Complex Products—Point of Sale Considerations</p> <p>In this session, panelists discuss recent investigations related to complex products, with a focus on senior and at-risk investors.</p> <p>Moderator: Nicole McCafferty, FINRA Member Supervision</p> <p>Panelists: Jason Foye, FINRA Member Supervision Michael Gerena, FINRA Member Supervision Paula Heffron, First Citizens Wealth Management KC Waldron, Charles Schwab & Co., Inc.</p>
	<p>▶ Trading & Execution Best Execution</p> <p>During this session, Market Regulation and Member Supervision staff will provide an update on key regulatory issues on topics including best execution and answer attendees' questions.</p> <p>Moderator: Gene DeMaio, FINRA Market Regulation</p> <p>Panelists: Brian Baily, FINRA Member Supervision Patrick Geraghty, FINRA Market Regulation Scott Kloin, FINRA Citadel Securities</p>
4:00 p.m.	Conference Adjourns

Registration

How to Register

To register, visit www.finra.org/firmgrouping22 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 November 17, 2022.

Fees

In Person—Individual	
FINRA Member must provide valid CRD #	\$100
Government / Regulator	\$100

Virtual Attendee (Plenaries Only)	
FINRA Member must provide valid CRD #	\$25
Government / Regulator	\$25

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

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

Hotel Information

Hotel Information

The 2022 Firm Grouping Conference takes place at:

Gaylord Palms Resort & Convention Center
6000 W Osceola Pkwy
Kissimmee, FL 34746

Accommodations

A room block is available at the Gaylord Palms Resort & Convention Center at the special room rate of \$189, per night, plus resort fee and tax. The rate is available 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 11/16/2022

Name	Company
Brian Baily	FINRA Member Supervision
Ornella Bergeron	FINRA Member Supervision
Stephen Berkeley	Loop Capital Markets
Karen Braine	FINRA Member Supervision
Brian Breen	FINRA Member Supervision
Brooks Brown	FINRA Member Supervision
Syed Bukhari	FINRA Member Supervision
Lance Burkett	FINRA Member Supervision
Eric Chandler	FINRA Member Supervision
Robert Cook	FINRA
Gene DeMaio	FINRA Market Regulation
Saran Dioubate	FINRA Human Resources
Patricia Dorilio	FINRA Membership Application Program (MAP)
Catherine Dunn	FINRA Member Supervision
John Edmonds	FINRA Member Supervision
Marc Forte	FINRA Member Supervision
Jeffrey Fortune	FINRA Member Supervision
Jason Foye	FINRA Member Supervision
Brian Fraioli	Securitize Markets, LLC
Nathan Ganousis	Edward Jones
Patrick Geraghty	FINRA Market Regulation
Michael Gerena	FINRA Member Supervision
Scott Gilbert	FINRA Member Supervision
Leyna Goro	FINRA Member Supervision
Jesse Gossett	FINRA Member Supervision
Paula Heffron	First Citizens Wealth Management
Elliot Henslovitz	FINRA Member Supervision
Joanne Hetzel	FINRA Member Supervision
John Hickey	FINRA Member Supervision
Debra Jastredowski	FINRA Member Supervision
Scott Kloin	Citadel Securities
Brian Kowalski	FINRA Member Supervision
Susan Lee	FINRA Member Supervision
Timothy MacDonald	FINRA Market Regulation

Speakers (continues)

Name	Company
John Martino	FINRA Member Supervision
Nicole McCafferty	FINRA Member Supervision
Paul McKenney	FINRA CAT
Thomas (Tom) Mellett	FINRA Member Supervision
Jonathan Milla	FINRA Member Supervision
Elizabeth Page	FINRA Member Supervision
Jessica Pastorino	M&A Securities Group, Inc.
James Reese	FINRA Member Supervision
Manuel Rosario	FINRA Member Supervision
Greg Ruppert	FINRA Member Supervision
Joseph (Joe) Sheirer	FINRA Member Supervision
Nadja Skelton	FINRA Member Supervision
Abby Slonecker	FINRA Member Supervision
Amy Sochard	FINRA Advertising Regulation
Michael Solomon	FINRA Member Supervision
William (Bill) St. Louis	FINRA Member Supervision
Peter (Pete) Stoehr	FINRA Member Supervision
Robert Sulik	FINRA Member Supervision
Bill Swanstrom	FINRA CRED Business Services
Timothy (Tim) Thompson	FINRA Member Supervision
Kayte Toczylowski	FINRA Member Relations and Education
Kathryn Travers	FINRA Member Supervision
Laura Trotz	FINRA Member Supervision
Jante Turner	FINRA Member Supervision
Jamie Udinson	FINRA Member Supervision
Erin Vocke	FINRA Member Supervision
KC Waldron	Charles Schwab & Co., Inc.
Thomas (Tom) Weaverling	FINRA Business Analysis and Reporting
Elizabeth Yoka	FINRA Member Supervision