



2023 FINRA Firm Grouping Conference

FINRA's Firm Grouping Conference is an in-person event designed to provide FINRA member firms the opportunity to engage in conversations on key topics tailored to each firm grouping. This conference also offers networking opportunities to meet with other professionals across firm segments and FINRA senior leadership including a significant presence of Member Supervision officers and senior directors.

Agenda

All times are listed in Eastern Time.

Monday, October 9	
10:00 a.m. – 12:00 p.m.	Registration & Information
11:45 a.m. – 1:00 p.m.	Networking Lunch
1:00 p.m. – 1:40 p.m.	Plenary Session: Fireside Chat With FINRA Senior Leaders
	Join FINRA senior leadership for a conversation about FINRA initiatives and key topics impacting the markets and the financial services industry.
1:40 p.m. – 2:00 p.m.	Networking Break
2:00 p.m. – 2:45 p.m.	Concurrent Sessions
	<ul style="list-style-type: none"> ▶ <i>Capital Markets and Investment Banking</i> Capital Formation Regulation: Insights and Implications <p>Join panelists as they provide insight into legislative as well as implications of Regulatory Notice 23-09 to help member firms navigate the evolving landscape of capital formation effectively.</p>
	<ul style="list-style-type: none"> ▶ <i>Diversified and Carrying & Clearing Firm</i> Diversified and Carrying & Clearing Firm Focus on Advertising and Communications Supervision <p>Join this session to gain insight into communications supervision issues impacting Diversified and Carrying & Clearing firms, the latest examination findings, case review observations and best practices firms can implement.</p>
	<ul style="list-style-type: none"> ▶ <i>Retail</i> Complex Product Sales Practices <p>Learn from panelists as they discuss best practices in complex product sales including variable annuities and non-traded REITS, and the regulatory obligations and considerations outlined in the FINRA Report on Examination and Risk Monitoring.</p>
	<ul style="list-style-type: none"> ▶ <i>Trading & Execution</i> The Latest in Consolidated Audit Trail (CAT) and Customer Account Information System (CAIS) Reporting <p>Join FINRA experts as they provide insight into CAT reporting obligations and provide initial CAIS observations.</p>
2:45 p.m. – 3:15 p.m.	Networking Break

For more information and to register, please visit www.finra.org/firmgrouping23

Monday, October 9

3:15 p.m. – 4:15 p.m.

Concurrent Sessions

- ▶ *Capital Markets and Investment Banking*
Broker-Dealer and Funding Portal Basic Requirements Under Regulation Crowdfunding

This session focuses on top things for broker-dealers to consider when exploring options in the crowdfunding space, requirements, and recent findings from the regulatory perspective.

- ▶ *Diversified and Carrying & Clearing*
Industry and Regulatory Changes Impacting Diversified and Carrying & Clearing Firms

This session covers rule proposals and industry changes impacting Diversified and Carrying & Clearing firms such as T+1 accelerated settlement, Rule 4311 carrying firm agreements and Rule 4610 broker dealer liquidity requirements.

- ▶ *Retail*
Top Examination and Investigation Findings for Retail Firms

Join this session to hear the latest on findings resulting from FINRA examinations and investigations and learn what retail firms can do to strengthen their compliance programs.

- ▶ *Trading & Execution*
Preparation for SEC Rule Amendment Proposals

Join this session to learn more about current SEC amendment proposals, where they're headed and how firms can prepare for implementation.

4:15 p.m. – 4:30 p.m.

Break

4:30 p.m. – 5:30 p.m.

Concurrent Sessions

- ▶ *Capital Markets and Investment Banking*
Operational Highlights for Capital Markets

This session focuses on key operational topics that impact firms including electronic recordkeeping, advertising, business continuity plans, succession planning, form filings and expense sharing agreements.

- ▶ *Diversified and Carrying & Clearing*
New Account Fraud Trends and Mitigation Strategies for Diversified and Carrying & Clearing Firms

Join panelists as they discuss the latest new account fraud tactics impacting Diversified and Carrying & Clearing firms such as ACAT and ACH fraud as well as measures firms are implementing to combat the threat.

Monday, October 9

▶ *Retail*
Retail Focus on Advertising and Communications Supervision

Join this session to learn about the latest developments and best practices for retail member firms, including advertising rule obligations, the increasing focus on influencers and off-channel communications, and an update on the crypto sweep.

▶ *Trading & Execution*
Fixed Income Issues Related to Trading and Execution

Join panelists for a deep dive discussion on trade reporting, including updates related to 15c2-11 and reporting transactions in U.S. dollar-denominated foreign sovereign debt securities to TRACE as described in Regulatory Notice 22-28.

5:30 p.m. – 7:30 p.m.

Reception

Tuesday, October 10

7:45 a.m. – 9:00 a.m.

Networking Breakfast With FINRA Member Supervision Staff

9:00 a.m. – 10:00 a.m.

Concurrent Sessions

▶ *Capital Markets and Investment Banking*
Capital Markets Focus on Advertising and Communications Supervisions

Join this session to hear more about capital market considerations related to supervision of advertising and communications with a focus on off-channel communications, outside business activities and private security transactions.

▶ *Diversified and Carrying & Clearing*
Leveraging Artificial Intelligence and Machine Learning

This session addresses the latest advances in artificial intelligence (AI) and machine learning, how firms are using AI, and the risks and benefits firms are observing.

▶ *Retail*
Cybersecurity and New Account Fraud Impacts to Retail Firms

Learn about the current cybersecurity and fraud threat landscape. Panelists share practical solutions and effective practices to help firms manage the impact of a potential cyber event and to improve their overall cybersecurity posture.

▶ *Trading & Execution*
Anti-Money Laundering Obligations and Applicability for Trading and Execution Firms

Join panelists as they discuss anti-money laundering obligations and applicability for Trading and Execution Firms and best practices to ensure your firm is in compliance.

10:00 a.m. – 10:15 a.m.

Break

Tuesday, October 10

10:15 a.m. – 11:00 a.m.	Concurrent Sessions
	<p>▶ <i>Capital Markets and Investment Banking</i> Regulation Best Interest Considerations for Capital Market Firms</p> <p>This session seeks to provide a capital market-focused overview of the top Regulation Best Interest (Reg BI) considerations including compliance and recent issues seen in this area.</p>
	<p>▶ <i>Diversified and Carrying & Clearing</i> Cybersecurity and New Account Fraud Impacts to Diversified, Carrying & Clearing Firms</p> <p>Learn about the current cybersecurity and fraud threat landscape. Panelists share practical solutions and effective practices to help firms manage the impact of a potential cyber event and to improve their overall cybersecurity posture.</p>
	<p>▶ <i>Retail</i> Retail Financials Hot Topics</p> <p>Join panelists for a discussion focused on frequently asked financial and operational questions, interpretative guidance from FINRA staff, and issues identified at firms by Risk Monitoring and Examinations.</p>
	<p>▶ <i>Trading & Execution</i> Top Issues Observed by the Trading and Execution Exam and Risk Monitoring Staff</p> <p>Hear from FINRA's Trading and Execution Exam and Risk Monitoring staff as they discuss top issues experienced by member firms.</p>
11:00 a.m. – 11:15 a.m.	Break
11:15 a.m. – 12:00 p.m.	Plenary Session: Ask Risk Monitoring and Examination Leaders
	<p>During this session, FINRA Member Supervision and Examination senior staff provide an update on key regulatory issues that are far reaching across all firm groupings.</p>
12:00 p.m. – 12:30 p.m.	Conference Adjourns – Boxed Lunch Available

INFORMATION STATIONS

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

- ▶ Continuing Education and Financial Professional Gateway (FinPro)
- ▶ Crypto Assets and Cybersecurity
- ▶ Examination and Risk Monitoring Report
- ▶ Firm Data Requests
- ▶ Inclusion and WorkLife Team
- ▶ Initial Review Group (IRG)
- ▶ Membership Application Program (MAP)
- ▶ Office of the Ombuds
- ▶ Vulnerable Adults & Seniors Team Specialists (VAST)

For more information and to register, please visit www.finra.org/firmgrouping23

Registration

How to Register

To register, visit www.finra.org/firmgrouping23 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 September 25, 2023.

Fees

In Person	
FINRA Member must provide valid CRD #	\$250
Government / Regulator	\$250

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

Accommodations

A room block is available at the conference hotel at the special room rate of \$269 per night, plus tax. The rate is available until September 17, 2023, 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.