

FINRA Annual Conference

Regulatory priorities. Compliance solutions. | Earn CLE and CPE credit



Expanded coverage on:

- ▶ internal controls
- ▶ suitability
- ▶ examinations
- ▶ anti-money laundering
- ▶ small firm compliance issues
- ▶ and more



2014 FINRA Annual Conference At-a-Glance

Monday, May 19

Registration 8:00 am – 6:30 pm

PLENARY 1: 10:15 am – 10:45 am
Welcome Remarks: Rick Ketchum, Chairman and CEO, FINRA [V]

PLENARY 2: 10:45 am – 12:00 pm
Compliance and Legal Trends [V]

Lunch 12:00 pm – 1:30 pm

Lunch with the Small Firm Advisory Board 12:00 pm – 1:30 pm

Dessert with Exhibitors 1:00 pm – 1:30 pm

PLENARY 3: 1:30 pm – 2:30 pm
Top Ten Regulatory Considerations [V]

Break 2:30 pm – 2:45 pm

CONCURRENT SESSIONS I 2:45 pm – 4:00 pm

- Suitability (Small Firm Focus) [V]
- Enforcement Developments [V]
- JOBS Act Updates
- Arbitration, Expungement and Arbitrator Disclosure

Break 4:00 pm – 4:15 pm

CONCURRENT SESSIONS II 4:15 pm – 5:30 pm

- Managing Conflicts of Interest [V]
- Social Media, Digital Communications and Compliance [V]
- Handling Outside Business Activities (Small Firm Focus)
- Bond Market Structure and Trading

Reception 5:30 pm – 6:30 pm

OFFICE HOURS

Meet one-on-one with FINRA senior staff to discuss firm-specific issues regarding: Sign up for a 15-minute appointment at the Conference Registration Desk.

- advertising regulation
- anti-money laundering
- financial responsibility rules
- fixed income
- market regulation
- member regulation
- qualifications, exams and continuing education
- supervision
- TRACE

[V] = VIDEO broadcast live over the Internet; all other sessions are audio broadcast live.

Tuesday, May 20

Registration 8:00 am – 6:30 pm

Continental Buffet Breakfast 8:00 am – 9:30 am

Breakfast with Member Regulation Staff 8:00 am – 9:30 am

CONCURRENT SESSIONS III 9:30 am – 10:45 am

- Variable Annuities [V]
- Navigating the Introducing/Clearing Firm Relationship (Small Firm Focus) [V]
- Ethics and Professional Responsibility for Securities Attorneys
- Cyber Security Threats and Loss Prevention Practices

Break 10:45 am – 11:00 am

PLENARY 4: 11:00 am – 11:45 am
Conversation with Daniel Gallagher, Commissioner, Securities & Exchange Commission [V]

Lunch 11:45 am – 1:15 pm

CRCP Lunch 11:45 am – 1:15 pm

Dessert with Exhibitors 12:45 pm – 1:15 pm

PLENARY 5: 1:15 pm – 2:30 pm
Ask FINRA Senior Staff [V]

Break 2:30 pm – 2:45 pm

CONCURRENT SESSIONS IV 2:45 pm – 4:00 pm

- Common Examination Findings and Compliance Practices (Small Firm Focus) [V]
- Fraud Detection and Prevention [V]
- Risk Management Practices
- Market Regulation Priorities

Break 4:00 pm – 4:15 pm

CONCURRENT SESSIONS V 4:15 pm – 5:30 pm

- Supervision [V]
- Reporting and Disclosure Requirements [V]
- Anti-Money Laundering (Small Firm Focus)

Reception 5:30 pm – 6:30 pm

Wednesday, May 21

Registration 7:00 am – 12:00 pm

Continental Buffet Breakfast 7:00 am – 8:30 am

Diversity and Inclusion Breakfast: Sustaining the Momentum 7:00 am – 8:30 am

PLENARY 6: Discussion on Retrospective Rule Review and Cost Benefit Analysis [V] 8:30 am – 9:00 am

Break 9:00 am – 9:15 am

CONCURRENT SESSIONS VI 9:15 am – 10:30 am

- Senior Investor Issues [V]
- Insider Trading: Internal Controls for Prevention [V]
- Communications With the Public: Issues and Trends
- Emerging Technology Topics (Small Firm Focus)

Break 10:30 am – 10:45 am

CONCURRENT SESSIONS VII 10:45 am – 12:00 pm

- Managing OBAs and Private Securities Transactions (Medium and Large Firm Focus) [V]
- Financial and Operational Considerations [V]
- Business Continuity Planning (Small Firm Focus)
- Global Regulatory Landscape

Break—Pick up boxed lunch 12:00 pm – 12:15 pm

CONCURRENT SESSIONS VIII 12:15 pm – 1:30 pm

- Effective Risk-Based Examinations (Small Firm Focus) [V]
- Product Due Diligence [V]
- AML: Monitoring for Suspicious Activity (Medium and Large Firm Focus)

Conference Adjourns 1:30 pm



Welcome

As our economy and the financial markets continue to evolve, it's up to both firms and regulators to continuously strengthen the integrity of the markets. In the area of technology, we're seeing unprecedented advances—not only in how firms and customers interact with one-another, but also how market data is shared across the globe. And from a product standpoint, new varieties of complex products continue to be introduced to keep up with investor demand for yield or hedge against potential market losses. How we collectively respond to these and other challenges plays a crucial role in investor confidence.

At FINRA, we're changing our practices around data by broadening our use of risk analytics and upgrading our surveillance capabilities. And we're updating our rulemaking process to ensure our existing and proposed rules support today's business models. Firms are responding to the changing marketplace by strengthening cyber security, updating their procedures to prevent money laundering and other fraudulent trading, and renewing their focus on suitability with respect to complex products.

Our Annual Conference gives us an opportunity to talk about regulatory priorities and guidance, share compliance successes, and discuss the challenges of keeping pace with evolving markets.

I look forward to seeing you there.

A handwritten signature in black ink, which appears to read "Richard G. Ketchum". The signature is fluid and cursive.

Richard G. Ketchum
FINRA Chairman & CEO

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“Good refresher of the rules, great networking and candid discussion with practitioners.”

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Networking Events



Take advantage of the following opportunities to meet with industry peers, FINRA committee members and FINRA staff.

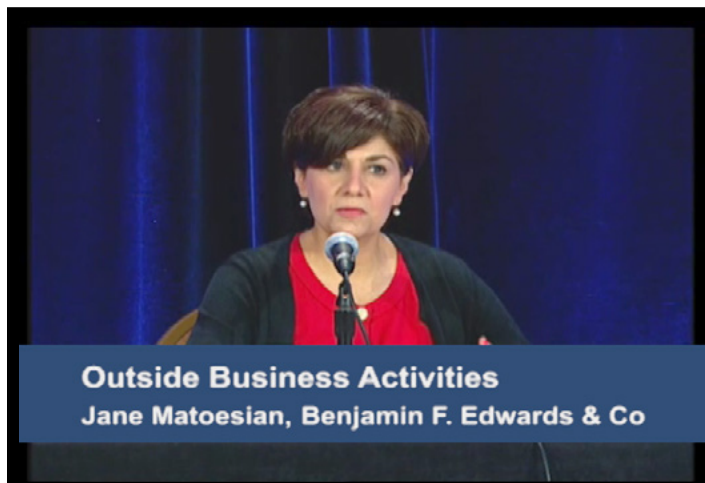
- ▶ **Small Firm Advisory Board Lunch** • Monday
- ▶ **Breakfast With Member Regulation Staff** • Tuesday
- ▶ **Certified Regulatory and Compliance Professional (CRCP™) Lunch** • Tuesday
- ▶ **Diversity and Inclusion Breakfast: Sustaining the Momentum** • Wednesday

“Networking opportunities are valuable. Great for information sharing and making contacts.”

Don't Miss FINRA's Annual Conference for:

- ▶ timely updates on regulatory developments and FINRA priorities;
- ▶ practical advice from compliance officers and other industry peers;
- ▶ new approaches to enhance compliance practices around suitability, supervision, social media, cyber security and more;
- ▶ more opportunities to connect with peers and share ideas at informal gatherings throughout the conference;
- ▶ expanded coverage on small firm compliance topics;
- ▶ office hours with FINRA staff to discuss firm-specific issues; and
- ▶ continuing education credits (CLE, CPE and CRCP).

View [video](#) highlights from last year's Annual Conference.



Agenda With Session Descriptions

Monday, May 19

8:00 a.m. – 6:30 p.m.	Registration
10:15 a.m. – 10:45 a.m.	Welcome Remarks: Rick Ketchum, Chairman and CEO, FINRA [V]
10:45 a.m. – 12:00 p.m.	Plenary: Compliance and Legal Trends [V] Led by FINRA Chairman and CEO Rick Ketchum, this panel of compliance executives addresses key legal and regulatory issues facing firms. Panelists discuss how changes to the regulatory landscape affect compliance and how firms are evolving and responding to business, regulatory and technology issues.
12:00 p.m. – 1:30 p.m.	Lunch Lunch with the Small Firm Advisory Board
1:00 p.m. – 1:30 p.m.	Dessert with Exhibitors
1:30 p.m. – 2:30 p.m.	Plenary: Top Ten Regulatory Considerations [V] In this session, FINRA staff and industry practitioners review ten areas of regulatory consideration—and discuss how these issues impact firms and their compliance practices.
2:30 p.m. – 2:45 p.m.	Break
2:45 p.m. – 4:00 p.m.	Concurrent Sessions I <ul style="list-style-type: none"> ▶ Suitability (Small Firm Focus) [V] Panelists discuss how small firms are complying with suitability and know-your-customer requirements. They share approaches for documenting and supervising hold recommendations and for capturing required customer-profile information. FINRA panelists highlight common suitability deficiencies found during recent examinations. ▶ Enforcement Developments [V] This session provides an overview of new developments and trends in enforcement, including enforcement priorities, as well as policy changes and clarifications, particularly regarding information requests. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities and provide guidance on regulatory and compliance practices. They also provide information and insights on navigating enforcement investigations and the disciplinary process. ▶ JOBS Act Updates Panelists provide regulatory updates related to the JOBS Act. They discuss the lifted general solicitation ban, the scope and application of proposed crowdfunding rules, and other compliance-related regulatory developments. ▶ Arbitration, Expungement and Arbitrator Disclosure This session is designed for attorneys representing broker-dealers in arbitration cases. Panelists highlight changes to expungement rules and guidance on expungement procedures. They also discuss modifications to arbitrator definitions, the impact on list-selection strategies and arbitrator disclosure requirements.



Agenda With Session Descriptions

4:00 p.m. – 4:15 p.m. Break

4:15 p.m. – 5:30 p.m. **Concurrent Sessions II**

▶ **Managing Conflicts of Interest [V]**

This session covers firms' practices for identifying, prioritizing and managing conflicts of interest. Panelists discuss management frameworks, as well as conflicts related to new and existing products, compensation and hiring. The discussion includes FINRA's examination focus for these and other related topics.

▶ **Social Media, Digital Communications and Compliance [V]**

Industry and FINRA experts discuss compliance considerations for digital communications, including social media and mobile communications among other types of online communications. This session addresses recent regulatory developments and compliance practices, including insights drawn from FINRA's social media targeted exams. Panelists offer practical answers to questions about compliance approaches for social and mobile communications.

▶ **Handling Outside Business Activities (Small Firm Focus)**

Industry practitioners share common practices for reviewing, limiting and monitoring outside business activities. For firms that do not permit OBAs, panelists offer guidance on ways to help ensure registered representatives comply with the firm's policies and procedures.

▶ **Bond Market Structure and Trading**

This session focuses on the impact of interest rate changes and Federal Reserve activity on the bond market. Among other things, panelists discuss managing bond inventory levels and transaction costs. They also address how these factors have impacted municipal securities.

5:30 p.m. – 6:30 p.m. Reception

“The conference is top notch
with wonderful speakers and
interesting, informative topics!”



Agenda With Session Descriptions

Tuesday, May 20

8:00 a.m. – 6:30 p.m.	Registration
8:00 a.m. – 9:30 a.m.	Continental Breakfast
8:00 a.m. – 9:30 a.m.	Breakfast with Member Regulation Staff
9:30 a.m. – 10:45 a.m.	Concurrent Sessions III <ul style="list-style-type: none">▶ Variable Annuities [V]<p>This session covers suitability and supervision considerations for the sale of variable annuities. Industry panelists discuss monitoring, use of exception reports and effective practices for training registered representatives on variable annuities. FINRA staff highlight areas of focus for examiners and recent examination deficiencies related to the sale of variable annuities.</p>▶ Navigating the Introducing/Clearing Firm Relationship (Small Firm Focus) [V]<p>This session is intended to help small introducing firms make the most of the relationship with their clearing firm. Panelists discuss the roles and responsibilities of clearing and introducing firms, types of reports and services that clearing firms offer, and practices for integrating these tools into introducing firms' compliance processes.</p>▶ Ethics and Professional Responsibility for Securities Attorneys<p>This session focuses on ethical considerations and the significant competing interests that securities attorneys face. Practitioners discuss the roles of securities attorneys and the nature and scope of their ethical obligations in different situations.</p>▶ Cyber Security Threats and Loss Prevention Practices<p>This session highlights current threats to financial institutions and other entities. Panelists share useful practices for protecting customer information, what to do in the event of a data breach and tackling other cyber security situations.</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 11:45 a.m.	Conversation with Daniel Gallagher, Commissioner, Securities & Exchange Commission [V]
11:45 a.m. – 1:15 p.m.	Lunch Certified Regulatory and Compliance Professional (CRCP) Lunch
12:45 p.m. – 1:15 p.m.	Dessert with Exhibitors
1:15 p.m. – 2:30 p.m.	Plenary Session: Ask FINRA Senior Staff [V] <p>FINRA senior staff members answer your questions on the examination, enforcement and market regulation programs, as well as rulemaking, and other regulatory and compliance issues. Note: Firm-specific questions can be discussed one-on-one with FINRA staff during conference Office Hours.</p>
2:30 p.m. – 2:45 p.m.	Break



Agenda With Session Descriptions

2:45 p.m. – 4:00 p.m. **Concurrent Sessions I**

▶ **Common Examination Findings and Compliance Practices (Small Firm Focus) [V]**

FINRA staff members discuss the most common deficiencies noted during FINRA cycle examinations of small firms and issues that result in a cautionary letter. Industry practitioners discuss taking corrective action and updating compliance procedures and practices based on lessons learned from common exam deficiencies.

▶ **Fraud Detection and Prevention [V]**

This session focuses on noteworthy fraud cases. Panelists highlight recent insider trading cases, cyber hacking, and market manipulations that targeted investors and the financial services industry.

▶ **Risk Management Practices**

Panelists discuss effective processes to identify, assess, mitigate and manage risk. They discuss how to determine the issues and areas of focus, what effective internal controls look like, and keeping policies and procedures up to date with regulatory developments and industry practices. They also discuss effective approaches to risk governance.

▶ **Market Regulation Priorities**

This session focuses on market regulation priorities and sweeps, including algorithmic trading strategies and systems, controls required under SEC's Market Access Rule, and other alternative trading systems related matters. Panelists also address FINRA Rule 5210 (Publication of Transactions and Quotations) requiring firms to have policies and procedures in place designed to review and prevent wash sale transactions.

4:00 p.m. – 4:15 p.m. **Break**

4:15 p.m. – 5:30 p.m. **Concurrent Sessions V**

▶ **Supervision [V]**

FINRA staff members discuss the new supervision and supervisory controls rules and offer practical considerations for complying with the new rules' requirements. Industry practitioners highlight how their firms are making the necessary changes to comply with the rule, including amending supervisory control procedures.

▶ **Reporting and Disclosure Requirements [V]**

This session focuses on regulatory requirements and firm practices related to reporting and disclosure. FINRA panelists highlight the key requirements for maintaining Forms U4 and U5, and reporting obligations under FINRA Rule 4530 (Reporting Requirements). They also discuss the proposed change to FINRA Rule 8312 (BrokerCheck Disclosure). Industry panelists share practices for Form U4 maintenance, competitive recruiting and vetting information on Forms U5 filed by previous employers.

▶ **Anti-Money Laundering (Small Firm Focus)**

This session focuses on suspicious activity monitoring, independent testing and customer identification programs at small firms. FINRA panelists highlight commonly cited deficiencies in these AML areas. Industry practitioners share how their small firms monitor for suspicious activity, determine who should conduct an independent test, address deficiencies, and ensure proper collection and verification of customers' identifying information.

5:30 p.m. – 6:30 p.m. **Reception**



Wednesday, May 21

7:00 a.m. – 12:00 p.m.	Registration
7:00 a.m. – 8:30 a.m.	Continental Breakfast
7:00 a.m. – 8:30 a.m.	Diversity and Inclusion Breakfast: Sustaining the momentum
8:30 a.m. – 9:00 a.m.	Plenary: Discussion on Retrospective Rule Review and Cost Benefit Analysis [V] FINRA Chief Legal Officer Robert Colby and Chief Economist Jonathan Sokobin discuss FINRA’s rulemaking agenda and process. They review FINRA’s approach to conducting economic impact assessments as part of the rule development process and cost-benefit analysis. They will also address the retrospective rule review process, the initial rule sets, and the impact on broker-dealers, markets and market participants.
9:00 a.m. – 9:15 a.m.	Break
9:15 a.m. – 10:30 a.m.	Concurrent Sessions VI <ul style="list-style-type: none">▶ Senior Investor Issues [V] This session focuses on managing the client relationship with senior investors. Panelists discuss identifying and responding to signs that clients may be experiencing diminished capacity or elder abuse. They also discuss marketing and suitability considerations when working with senior investors.▶ Insider Trading: Internal Controls for Prevention [V] This session focuses on firms’ practices for safeguarding material, non-public information and preventing insider trading. Industry panelists discuss internal controls their firms have in place for monitoring trading activity, maintaining information-barrier policies and procedures, reviewing electronic communications and conducting regular employee training, among others.▶ Communications With the Public: Issues and Trends This session addresses regulatory developments and current industry issues and trends related to advertising and communications with the public. Industry panelists and FINRA staff discuss compliance tips and useful practices in the supervision of retail and institutional communications.▶ Emerging Technology Topics (Small Firm Focus) This session focuses on ways to use technology to support small firms’ compliance efforts. Panelists discuss examples of technology solutions that support supervision efforts and help comply with electronic communications and social media requirements. Panelists also touch on cyber security, including mobility and BYOD concerns, and how to leverage technology to address business continuity planning needs.
10:30 a.m. – 10:45 a.m.	Break

“I always leave with a list of things to think about within the context of my own firm.”



10:45 a.m. – 12:00 p.m. **Concurrent Sessions VII**

▶ **Managing OBAs and Private Securities Transactions (Medium & Large Firm Focus) [V]**

Industry practitioners and FINRA staff share common practices for monitoring outside business activities and private securities transactions. The session addresses identification of outside business activities and private securities transactions, and considerations for determining whether to approve or disapprove these types of activities. FINRA panelists highlight common OBA deficiencies found in examinations.

▶ **Financial and Operational Considerations [V]**

Panelists discuss common financial, customer protection and operational issues noted during examinations. They also discuss recent rulemaking activity, including updated supplemental FOCUS filing requirements, recent amendments and other proposed changes to the SEC's financial responsibility rules, FINRA's fully paid securities lending program requirements and proposed amendments to the margin rule for transactions in the TBA market.

▶ **Business Continuity Planning (Small Firm Focus)**

This session focuses on small firm business continuity and disaster recovery planning. Panelists highlight lessons learned from recent events, and address leading practices in preparation for widespread disruption, alternative locations and communications and technology support. They also discuss BCP compliance, review and testing.

▶ **Global Regulatory Landscape**

Join us for a special session with leaders from the International Organization of Securities Commissions (IOSCO) and international securities regulatory agencies. Panelists discuss key issues shaping the global regulatory landscape, including how international regulators incorporate concepts like behavioral finance in their regulatory approach. They also discuss how issues such as shadow banking, corporate governance, bank capital and OTC derivative markets are defining regulators' actions.

12:00 p.m. – 12:15 p.m. **Break—Pick up boxed lunch**

12:15 p.m. – 1:30 p.m. **Concurrent Sessions VIII**

▶ **Effective Risk-Based Examinations (Small Firm Focus) [V]**

FINRA Member Regulation staff discuss their approach to executing risk-based cycle and branch office examinations. Industry practitioners, along with FINRA experts, discuss how member firms can prepare for, facilitate and learn from risk-based regulatory examinations.

▶ **Product Due Diligence [V]**

This session focuses on due diligence obligations in connection with the sale of securities, including private placements, structured products, REITs and other alternative investments. Industry practitioners discuss steps firms can take to comply with their due diligence obligations. Panelists also discuss escrow procedures for contingency offerings and Regulation D updates.



► **AML: Monitoring for Suspicious Activity (Medium & Large Firm Focus)**

Panelists from medium and large firms discuss their practices for monitoring suspicious activity. They highlight issues at bank-affiliated broker-dealers and the challenges of monitoring for suspicious activity in RVP/DVP, omnibus and master-sub accounts. They also discuss how obligations for suspicious activity monitoring intersect with a firm's responsibility to determine the registration status of shares under Section 5 of the Securities Act of 1933.

1:30 p.m. Conference Adjourns

Don't miss a session—In-person and online participants receive access to recordings of all sessions on-demand for free after the conference. So if there are two simultaneous sessions of interest to you, you can attend one and listen to the other one later.

“Nearly every session
had a good mix of rules-based
conversation with hands-on advice.”



Speakers

Partial list of speakers confirmed as of May 1, 2014.

Clive Adamson	Financial Conduct Authority	W. Dennis Ferguson	Sterne Agee Clearing
Patricia Albrecht	FINRA Member Relations and Education	Linda Fienberg	FINRA Dispute Resolution
Susan Axelrod	FINRA Office of Regulatory Operations	Jill Fisch	University of Pennsylvania Law School
Victoria Bach-Fink	Wall Street Financial Group, Inc.	Karrie Foley	FINRA Member Relations
Ryan Bakhtiari	Aidikoff, Uhl & Bakhtiari	Fred Fram	Summit Brokerage Services, Inc.
Patricia Bartholomew	Craig-Hallum Capital Group LLC	Cameron Funkhouser	FINRA Office of Fraud Detection and Market Intelligence
Shayna Beck	The Vanguard Group, Inc.	Daniel Gallagher	U.S. Securities and Exchange Commission
J. Bradley Bennett	FINRA Enforcement	Timothy Gallagher	Federal Bureau of Investigations, Criminal Division
William Berger	FINRA Chicago District Office	Scott Gilbert	FINRA New York District Office
David Bergers	LPL Financial	Emily Gordy	FINRA Enforcement
Richard Berry	FINRA Case Administration	Sarah Green	FINRA Enforcement
Robert Buhlman	Sidley Austin LLP	David Greene	FINRA Los Angeles District Office
Whitney Bullock	Wescom Financial Services	Jeffrey Halperin	MetLife
John Brady	FINRA Technology Administration	Sandra Hanna	Bruch Hanna LLP
Anthony Cavallaro	FINRA Office of Fraud Detection and Market Intelligence	Carla Harris	Morgan Stanley
Chris Chatfield	Merrill Lynch	Steve Hart	Robotti & Company, LLC
Robert Cohen	U.S. Securities and Exchange Commission	Susan Hechlinger	SunTrust Investment Services, Inc.
Steven Cohen	U.S. Securities and Exchange Commission	Alon Hillel-Tuch	RocketHub
Robert Colby	FINRA Chief Legal Office	Thomas Horack	Signator Investors, Inc.
Patrick Cox	LPL Financial, LLC	Jeffrey Horowitz	Pershing LLC
Mark Cresap	Cresap, Inc.	David Hsu	Liberty Group, LLC
Monica Daggs	CUSO Financial Services, L.P.	Ben Indek	Morgan, Lewis & Bockius LLP
Cathy Davis	National Cyber-Forensics & Training Alliance	Alistair Johnson	FINRA Member Regulation, Regulatory Programs
Gene DeMaio	FINRA Market Regulation	Kay Johnson	National Securities Corporation
Susan Demando Scott	FINRA Financial Operations	Chip Jones	FINRA Member Relations and Education
Dennis Dickstein	UBS Wealth Management Americas	John Kalohn	FINRA Testing and Continuing Education
Carlo di Florio	FINRA Office of Risk and Strategy	Robert Kaplan	FINRA Philadelphia District Office
Tom Gira	FINRA Market Regulation	Rick Ketchum	FINRA
Donna Di Maria	Tessera Capital Partners, LLC	Daniel Kosowsky	Morgan Stanley Wealth Management
Mario DiTrapani	FINRA Registration and Disclosure	Demetrios Koutros	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Mark Douce	Capital One Securities	Wendy Lanton-Sheftel	Lantern Investments, Inc.
Samuel Draddy	FINRA Office of Fraud Detection and Market Intelligence	Alan Lawhead	FINRA Office of General Counsel
Thomas Drogan	FINRA New York District Office		
Myles Edwards	Constellation Wealth Advisors LLC		



Speakers

Windy Lawrence	AXA Distributors, LLC
Bob Lehman	Lehman & Eilen LLP
Richard Levin	BakerHostetler
Elliot Levine	FINRA Transparency Services
Donald Lopezi	FINRA San Francisco District Office
Stephen Luparello	U.S. Securities and Exchange Commission
Michael Macchiaroli	U.S. Securities and Exchange Commission
Kathy Mahoney	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
John Malitzis	FINRA Market Regulation
Robert Marchman	FINRA Market Regulation
AnnMarie McGarrigle	FINRA Philadelphia District Office
Duer Meehan	FINRA Market Regulation
Kenneth Miller	Johnston, Lemon & Co., Incorporated
Elizabeth Mitchell	WilmerHale
Robert Muh	Sutter Securities Inc.
Stephanie Nicolas	WilmerHale
Craig Noble	Wells Fargo Advisors
Michelle Oroschakoff	LPL Financial
Jill Ostergaard	Barclays
Elizabeth Page	FINRA Boston District Office
Jake Palmer	SWBC Investment Services, LLC
Thomas Pappas	FINRA Advertising Regulation
Jeffrey Pasquerella	FINRA South Region
Ola Persson	FINRA Transparency Services
Steven Polansky	FINRA Regulatory Operations/ Shared Services
Joseph Price	FINRA Corporate Financing
David Prince	Stephens
Rocco Procopio	Morgan Stanley
Wesley Ringo	Hilliard Lyons
Robert Robbins	Pillsbury Winthrop Shaw Pittman LLP
Carla Romano	FINRA Midwest Region
Joseph Romano	Romano Wealth Management
Richard Rosenthal	Morgan Stanley

Debra Roth	Morgan Stanley Legal and Compliance
Michael Rufino	FINRA Member Regulation, Sales Practice
Renata Santos	RBS
Joseph Savage	FINRA Investment Companies Regulation
Thomas Selman	FINRA Regulatory Policy
John-Paul Servais	Financial Services and Markets Authority
Mike Sharp	Jefferies
James Shorris	LPL Financial, LLC
Daniel Sibears	FINRA Regulatory Operations/ Shared Services
Beverly Jo Slaughter	Wells Fargo, Law Department
Blake Snyder	FINRA Florida District Office
Amy Sochard	FINRA Advertising Regulation
Jonathan Sokobin	FINRA Office of the Chief Economist
Michael Solomon	FINRA New York Region
Lawrence Stadulis	Stradley Ronon
Donald Steel	Planned Investment Co., Inc.
Jeremy Tarwater	Federal Bureau of Investigations
Paul Tolley	Commonwealth Financial Network
Laura Trotz	FINRA Chicago District Office
John Veator	FINRA Member Relations and Education
Erin Vocke	FINRA Dallas District Office
Hardeep Walia	Motif Investing, Inc.
Steven Wallman	FOLIOfn, Inc.
Ed Wegener	FINRA Chicago District Office
HowardWetston	Ontario Securities Commission
Stuart Wexler	ICAP
Jonathan Sokobin	FINRA Office of the Chief Economist
David Wright	International Organization of Securities Commissions (IOSCO)
James Wrona	FINRA Office of General Counsel
Adrienne Yost Hart	FS2 Capital Partners, LLC
Pamela Ziermann	Dougherty & Company LLC



Connect with Industry Peers and Regulators

Take advantage of the following opportunities at this year's conference to meet colleagues, exchange ideas and interact with FINRA committee members and senior staff.

WHAT	WHEN	WHO	HOW
<p>Lunch with the Small Firm Advisory Board (SFAB)</p> <p>Meet SFAB members and small firm attendees to discuss topics of particular interest to small broker-dealers</p>	<p>Monday 12:00 p.m. – 1:30 p.m.</p>	<p>Member firms with less than 150 registered representatives</p>	<p>Attendance is open, first-come first served; registration is not required.</p>
<p>Breakfast With Member Regulation Senior Staff</p> <p>Meet with senior Member Regulation staff for informal conversations about current industry matters.</p>	<p>Tuesday 8:00 a.m. – 9:30 a.m.</p>	<p>Member firm attendees</p>	<p>Attendance is open, first-come first served; registration is not required.</p>
<p>Certified Regulatory and Compliance Professional (CRCP) Lunch</p> <p>Hear from Jill Fisch, CRCP Program Academic Co-Director, who will discuss emerging issues in securities law and the value of the CRCP program.</p>	<p>Tuesday 11:45 a.m. – 1:15 p.m.</p>	<p>CRCP alumni, current participants and those interested in learning about the CRCP program</p>	<p>Space is limited and advance registration is required.</p>
<p>Diversity and Inclusion Breakfast: Sustaining the Momentum</p> <p>Hear from Carla Harris, Vice Chairman, Global Wealth Management, Morgan Stanley, who will share her perspective and insights on the importance of ensuring that diversity and inclusion remain a key commitment to firms in the financial services industry.</p>	<p>Wednesday 7:00 a.m. – 8:30 a.m.</p>	<p>All conference attendees</p>	<p>Attendance is open, first-come first served; registration is not required.</p>



Additional Information

Legal Professionals



Earn Ethics and general CLE credits by attending the conference.*

Sessions that may be of particular interest to attorneys include:

- ▶ Arbitration, Expungement and Arbitrator Disclosure
- ▶ Enforcement Developments
- ▶ Ethics and Professional Responsibilities for Securities Attorneys

Speakers include leading in-house legal and compliance professionals, prominent outside counsel and regulators. Special pricing is available for attorneys. Visit www.finra.org/annualconference/attorneys

* Depends upon the state issuing credit and MCLE jurisdiction.

Continuing Education Credits

Upon completion of the conference, participants may be eligible to receive continuing education credits. For inquiries, please email education@finra.org.

CLE Credit

In-person attendance: Conference attendees may receive up to 12 CLE credits—including up to 1.25 Ethics CLE credits—depending upon the number of hours and sessions attended, as well as the state issuing credit and MCLE jurisdiction. Attorneys seeking CLE credit must complete and submit a CLE/CPE Credit Request Form at the conference.

[V] CLE credit is not available for the live broadcast or on-demand recordings.

CPE Credit

In-person attendance: Conference attendees may receive up to 12 CPE credits—including 1.5 Ethics credits—depending upon the number of hours and sessions attended. This is a live group event. The program level is “overview” and there are no prerequisites or advanced preparation required.

[V] CPE credit is not available for the live broadcast or on-demand recordings.

CRCP CE Credit

Graduates of the FINRA Institute at Wharton CRCP program may earn up to 12 CRCP CE credits, depending on the number of hours attended. For more information on the FINRA Institute at Wharton or the CRCP continuing education requirement, visit www.finra.org/crcp/ce.



FINRA and West LegalEd are registered with the National Association of State Boards of Accountancy (NASBA) as sponsors of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Website: www.nasba.org.



Small Firms

Sessions that address regulatory requirements and compliance practices from a small firm perspective include:

- ▶ Anti-Money Laundering
- ▶ Business Continuity Planning
- ▶ Common Examination Findings and Compliance Practices
- ▶ Effective Risk-Based Branch Examinations
- ▶ Handling Outside Business Activities
- ▶ Navigating the Introducing/Clearing Firm Relationship
- ▶ Suitability
- ▶ Emerging Technology Topics

Special pricing is available for FINRA member firms. Visit www.finra.org/annualconference/2.

“More emphasis on small firm issues... was greatly appreciated.”

Two Ways to Participate

▶ Attend in person

Attend the conference in person and take advantage of on-site opportunities to connect with industry peers and regulators and meet on-on-one with FINRA staff.

▶ Watch the live broadcast

Those who can't attend the conference in person can participate via live broadcast streamed over the Internet. All sessions will be video or audio broadcast live. Participants can choose a session to follow along, and can toggle between all other live sessions as they like. Online participants receive access to all conference materials, and can ask questions in real time. And since recordings will be made available after the conference, participants can catch up on any sessions they missed.

Registration Fees

In-Person	Through April 21	After April 21
Member	\$1,395	\$1,595
Attorney	\$1,695	\$1,895
Government/Regulator	\$995	\$995
Non-Member	\$1,995	\$2,195
Group Rate (Per Person)*		
Member	\$1,180	\$1,340
Attorney	\$1,440	\$1,610
Non-Member	\$1,690	\$1,860

* Available for firms that simultaneously register three or more employees to attend the conference in person. We regret that group discounts cannot be applied retroactively. For more information, please call (202) 728-8131 or email conreg@finra.org.

Live Broadcast	Single-Viewer License Fees	Multi-Viewer License Fees
Member (Small Firms)	\$100	\$200
Member	\$200	\$400
Government/Regulator	\$200	\$400
Attorney/Non-Member	\$700	\$1,100

Live Broadcast: A Multi-Viewer Access allows an unlimited number of people from the same firm to view the live broadcast for one flat fee. To register, select the Live Broadcast Multi-Viewer Access registration option above. We regret that refunds cannot be retroactively granted to upgrade two or more Single-Viewers to Multi-Viewer Access. Sharing a Single-Viewer license is a violation of FINRA's [live broadcast](#) licensing terms.



Firms With Complex, Multi-line Businesses

Sessions of particular interest to attendees who work at firms with complex or multi-line businesses include:

- ▶ AML: Monitoring for Suspicious Activity (Medium and Large Firm Focus)
- ▶ Cyber Security Threats and Loss Prevention Practices
- ▶ Financial and Operational Considerations
- ▶ Fraud Detection and Prevention
- ▶ Insider Trading: Internal Controls for Prevention
- ▶ Managing Conflicts of Interest
- ▶ Managing OBAs and Private Securities Transactions (Medium and Large Firm Focus)
- ▶ Market Regulation Priorities
- ▶ Reporting and Disclosure Requirements
- ▶ Risk Management Practices

Registration Information

How to Register

To register, visit www.finra.org/annualconference/registration/2 and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis.

Online registration closes on May 18, 2014. If you experience difficulties registering, please call (202) 728-8131 or email 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

The special discounted rate for the first 100 registrants is non-refundable. For all other registration categories, a full refund—less a \$100 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. We regret that refunds will not be granted after May 5, 2014.

Contact Information

For questions, complaints or information on administrative policies, please call (800) 321-6273 or email education@finra.org.

Office Hours

Meet one-on-one with FINRA senior staff to discuss firm-specific issues regarding:

- ▶ advertising regulation
- ▶ anti-money laundering
- ▶ financial responsibility rules
- ▶ fixed income
- ▶ market regulation
- ▶ member regulation
- ▶ qualifications, exams and continuing education
- ▶ supervision
- ▶ TRACE

Sign up for a 15-minute appointment at the Conference Registration Desk.



Exhibitors

Conference exhibitors showcase a wide range of products and services for broker-dealer firms.

ACA Compliance Group
Actiance
AxiomSL
Bloomberg L.P.
Business Information Group
CFM Partners, Inc.
Charles Schwab Compliance 11
Compliance Science, Inc.
DST
ERADO
eSentire, Inc.
ExamFX
Fidelity Investments
FireSolutions
Global Relay
Globanet Consulting Services
Hearsay Social
Hyland Software
Lansare Corporation
Law360
LIMRA
Lumesis, Inc
McDonald Information Service
McGladrey, LLP
Mercer Consumer
MobileGuard
National Society of
Compliance Professionals
Nexgate
NICE Actimize
North American Professional
Liability Insurance Agency
NRS
Patrina
PearsonVUE
Pinpoint Global Communications
Prometric
Quest CE
Red Oak Compliance Solutions, LLC
RegED
Regulatory Compliance
Renaissance Regulatory Services
SMARSH
Socialware
Solomon Exam Prep
StarCompliance
SunGard
Thomson Reuters Accelus
Two Roads Software
Wiley

Hotel and Travel Information

Hotel Reservations

The 2014 FINRA Annual Conference will take place at:

► **Renaissance Washington, DC Downtown Hotel**

999 Ninth Street, NW
Washington, DC 20001

Phone: (202) 898-9000

Toll free: (800) 468-3571

Web: www.finra.org/annualconference/hotel

A room block is available at the Renaissance Washington, DC Hotel at the special rate of \$299 per night, plus tax. This rate is available until April 25, 2014, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis. [Reserve a room online](#) or call (202) 898-9000 or (800) 468-3571 and identify yourself as a 2014 FINRA Annual Conference attendee.

Additional Hotels:

- An overflow block is available at the **Embassy Suites, Washington, DC Convention Center Hotel**, 900 10th Street, NW, Washington, DC at the rate of \$289 per night, plus tax. This rate is available until May 2, 2014, or until the room block is sold out. To reserve a room call (202) 739-2001 and identify yourself as a 2014 FINRA Annual Conference attendee. www.EmbassySuitesCC.com
- The **Grand Hyatt Washington**, located at 1000 H Street, NW, Washington, DC (approximately two blocks from the conference hotel) may also have sleeping room availability over the conference dates. To reserve a room call (800) 233-1234 or visit www.grandwashington.hyatt.com.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to 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.

