



2020 FINRA Small Firm Virtual Conference

October 28, 2020

The Small Firm Virtual Conference is a hybrid of live and recorded sessions and it is designed to facilitate meaningful dialogue on a range of topics in an educational format. During the event, attendees can meet one-on-one with FINRA staff during office hours.

Agenda | Wednesday, October 28

Live Session I	
8:30 a.m. – 8:45 a.m.	Welcome Remarks Kayte Toczyłowski, FINRA Member Relations and Education
Live Session II	
	<p>Regulation Best Interest and Form CRS</p> <p>▶ Join panelists as they discuss Regulation Best Interest and Form CRS, its impact on the industry and effective practices to help broker-dealers manage their obligations.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Meredith Cordisco, FINRA Office of General Counsel <p>Panelists:</p> <ul style="list-style-type: none"> • Alicia Goldin, U.S. Securities and Exchange Commission (SEC) • Wendy Lanton, Lantern Investments, Inc. • Kent Lund, GVC Capital LLC • Nicole McCafferty, FINRA Member Supervision
9:30 a.m. – 9:45 a.m.	Break
Pre-Recorded Session I	
	<p>Guidance Communications with the Public During COVID-19</p> <p>▶ During the COVID-19 pandemic, how can firms communicate relevant, meaningful and compliant information with their clients? Attend this session to hear how industry and regulatory experts are dealing with these challenges. The panel covers FINRA's published frequently asked questions related to communications during the coronavirus pandemic public as well as the guidance on private placement retail communications in Regulatory Notice 20-21.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Amy Sochard, FINRA Advertising Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Bob Chung, Arete Wealth • Jennifer Szaro, CRCP™, XML Securities, LLC
10:30 a.m. – 12:30 p.m.	Networking Break with Exhibitors and Office Hour Appointments
Live Session III	
	<p>Fireside Chat Featuring FINRA President and CEO Robert Cook, Executive Vice President of Member Supervision Bari Havlik and Vice President of Member Relations and Education Kayte Toczyłowski</p> <p>▶ During this session, FINRA staff share their perspectives on the current state of the industry and look ahead to what the future may hold.</p> <p>Speakers:</p> <ul style="list-style-type: none"> • Robert Cook, FINRA • Bari Havlik, FINRA Member Supervision • Kayte Toczyłowski, FINRA Member Relations and Education
1:00 p.m. – 1:15 p.m.	Break

Agenda | Wednesday, October 28

1:15 p.m. – 2:00 p.m.	Pre-Recorded Session II
	<p>Common Examination Findings</p> <p>▶ Join FINRA staff as they discuss common deficiencies noted during a FINRA small firm examination. Industry practitioners will discuss effective practices for preparing for examinations, taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings.</p> <p>Moderator:</p> <ul style="list-style-type: none">• Erin Vocke, FINRA Member Supervision <p>Panelists:</p> <ul style="list-style-type: none">• Anthony (Tony) Cognevich, Hancock Whitney Investment Services Inc.• Mark Cresap, Cresap, Inc.• Gerald (Jerry) Dougherty, FINRA Member Supervision
2:00 p.m. – 3:15 p.m.	Networking Break with Exhibitors and Office Hour Appointments
3:15 p.m. – 4:00 p.m.	Live Session IV
	<p>Ask FINRA Senior Staff</p> <p>▶ During this session, FINRA senior staff provide an update on key regulatory issues. Panelists address questions relating to FINRA’s risk-based examination program, disciplinary actions, market regulation programs, and new and anticipated rules, among other things.</p> <p>Moderator:</p> <ul style="list-style-type: none">• Kayte Toczylowski, FINRA Member Relations and Education <p>Panelists:</p> <ul style="list-style-type: none">• Ornella Bergeron, FINRA Member Supervision• Greg Ruppert, FINRA Member Supervision• Joseph (Joe) Sheirer, FINRA Member Supervision• William (Bill) St. Louis, FINRA Member Supervision
	Live Session IV
4:00 p.m.	Closing Remarks/Conference Adjourns: Kayte Toczylowski

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®].

Featured Speakers



Robert W. Cook—President and Chief Executive Officer, FINRA

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure. Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters. Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.



Bari Havlik—Executive Vice President, Member Supervision, FINRA

Bari Havlik is Executive Vice President for Member Supervision. In this capacity, Ms. Havlik leads FINRA's Member Regulation program, which includes surveillance and examination programs for member firms. Previously, Ms. Havlik was a Senior Vice President and Chief Compliance Officer for The Charles Schwab Corporation. She began her career in financial services in 1982, and has worked for discount brokerage, full service retail and institutional securities firms, as well as bank-affiliated broker-dealers. Ms. Havlik received her undergraduate degree from DePaul University. She serves on the board of Creativity Explored, a non-profit that gives artists with developmental disabilities the means to create and share their work with the community, celebrating the power of art to change lives. Before relocating to New York, she also served on the board of GirlVentures, a non-profit that inspires girls to lead through outdoor adventure, inner discovery and collective action.



Kayte Toczykowski— Vice President, Member Relations & Education

Kayte Toczykowski is Vice President of Member Relations and Education for FINRA. In this role, Ms. Toczykowski's responsibilities include maintaining and enhancing open and effective dialog with FINRA member firms. Ms. Toczykowski also oversees FINRA's Member Education area, which includes FINRA conferences and other member firm educational offerings such as the FINRA Institute at Georgetown for the Certified Regulatory and Compliance Professional (CRCP)[®] designation. Ms. Toczykowski has been with FINRA since 2011 and spent nine years in Member Supervision's examination program. Most recently, Ms. Toczykowski was an Examination Director located in the Philadelphia, PA office, where she led geographically dispersed exam teams responsible for planning and executing Member Supervision's examination program relative to a subset of firms engaged primarily in Capital Markets & Investment Banking Services. She entered the securities industry in 2003 in the compliance department of Janney Montgomery Scott, a regional broker-dealer headquartered in Philadelphia. The majority of her eight-year career at Janney was spent as a compliance examiner for the firm's branch network. Ms. Toczykowski has a Bachelor of Arts degree in English from Villanova.

Registration



How to Register

To register, visit www.finra.org/smallfirm2020 and complete the online registration form using your credit card. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

Conference fees include attendance to all live and recorded sessions and conference materials.

Conference registration is limited and available on a first-come, first-served basis. Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment. Please note: Access instructions will be sent within 24 hours of the start of this virtual event.

Cancellation Policy

Cancellations within 48 hours of the virtual event will be subject to a \$25.00 cancellation fee.

Virtual Registration Fees

REGISTER NOW @

INDIVIDUAL	
FINRA Member Firm must provide valid CRD #	\$100
Non-Member	\$200
Government/Regulator	\$100
GROUP* (Per Person)	
FINRA Member Firm must provide valid CRD #	\$50
Non-Member	\$150

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

Contact Information

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

Press

This event is open to the media.

Exhibitors

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

Current exhibitors include:

- ▶ Artisan Software, Inc.
- ▶ Blue Star
- ▶ Computer Services, Inc.
- ▶ Global Relay
- ▶ MyComplianceOffice (MCO)
- ▶ National Regulatory Services
- ▶ Red Oak Compliance
- ▶ Renaissance Regulatory Services
- ▶ Smarsh
- ▶ Solomon Exam Prep
- ▶ The SDDco Group
- ▶ Vault America

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.

Office Hours

Office Hours provide an opportunity for conference attendees to meet one-on-one with FINRA staff. FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions and issues. Attendees can make an appointment during registration or through the virtual conference hub.

Wednesday, October 28	Office Hour Time	Room I	Office Hour Time	Room II
8:00 a.m. – 8:30 a.m.	8:00 a.m. – 8:30 a.m.	<p>Patricia Monterosso Director, CRED Continuing Education Services, Credentialing, Registration, Education and Disclosure (CRED)</p> <p>Kelly Swanstrom Associate Director, CRED Continuing Education Marketplace Credentialing, Registration, Education and Disclosure (CRED)</p>		
9:45 a.m. – 10:30 a.m.	9:45 a.m. – 10:30 a.m.	<p>Robert (Rob) Sulik (Capital Markets) Senior Director, Risk Monitoring – Boston Office, FINRA Member Supervision</p> <p>Henry (Hank) Kugaczewski (Capital Markets) Director, Risk Monitoring – New York Office, FINRA Member Supervision</p>	9:45 a.m. – 10:30 a.m.	<p>Brian Kowalski (Diversified, Carrying and Clearing) Senior Director, Risk Monitoring – New York Office, FINRA Member Supervision</p> <p>Maria Valencia (Trading and Execution) Director, Risk Monitoring – New York Office, FINRA Member Supervision</p>
10:45 a.m. – 11:30 a.m.	10:45 a.m. – 11:30 a.m.	<p>Patrick (Pat) Tominey (Trading and Execution) Vice President, Firm Group Risk Monitoring – New York Office, FINRA Member Supervision</p> <p>Lucy Palmieri (Trading and Execution) Director, Risk Monitoring – New York Office, FINRA Member Supervision</p>	10:45 a.m. – 11:30 a.m.	<p>Laura Trotz (Capital Markets) Senior Director, Risk Monitoring – Chicago Office, FINRA Member Supervision</p> <p>Matthew (Matt) Reyburn (Capital Markets) Director, Risk Monitoring – Chicago Office, FINRA Member Supervision</p>
12:00 p.m. – 12:30 p.m.	12:00 p.m. – 12:30 p.m.	<p>Patricia Monterosso Director, CRED Continuing Education Services, Credentialing, Registration, Education and Disclosure (CRED)</p> <p>Kelly Swanstrom Associate Director, CRED Continuing Education Marketplace Credentialing, Registration, Education and Disclosure (CRED)</p>		
1:15 p.m. – 2:00 p.m.	1:15 p.m. – 2:00 p.m.	<p>Elizabeth (Liz) Page (Retail) Vice President, Firm Group Risk Monitoring – Boston Office, FINRA Member Supervision</p> <p>Annmarie McGarrigle (Retail) Director, Risk Monitoring – Philadelphia Office, FINRA Member Supervision</p>	1:15 p.m. – 2:00 p.m.	<p>Elliot Henslovitz (Capital Markets) Senior Director, Risk Monitoring – New York Office, FINRA Member Supervision</p> <p>Kathryn Travers (Capital Markets) Director, Risk Monitoring – Boston Office, FINRA Member Supervision</p>
2:15 p.m. – 3:00 p.m.	2:15 p.m. – 3:00 p.m.	<p>Lance Burkett (Retail) Senior Director, Risk Monitoring – Denver Office, FINRA Member Supervision</p> <p>Colleen Diles (Retail) Director, Risk Monitoring – Los Angeles Office, FINRA Member Supervision</p>	2:15 p.m. – 3:00 p.m.	<p>Scott Gilbert (Diversified, Carrying and Clearing) Vice President, Firm Group Risk Monitoring – New York Office, FINRA Member Supervision</p> <p>Stacie Jungling (Capital Markets) Director, Risk Monitoring – Denver Office, FINRA Member Supervision</p>

Speakers | as of October 16, 2020

Ornella Bergeron	FINRA Member Supervision
Lance Burkett	FINRA Member Supervision
Bob Chung	Arete Wealth
Anthony (Tony) Cognevich	Hancock Whitney Investment Services Inc.
Robert Cook	FINRA
Meredith Cordisco	FINRA Office of General Counsel
Mark Cresap	Cresap, Inc.
Colleen Diles	FINRA Member Supervision
Gerald (Jerry) Dougherty	FINRA Member Supervision
Scott Gilbert	FINRA Member Supervision
Alicia Goldin	U.S. Securities and Exchange Commission (SEC)
Bari Havlik	FINRA Member Supervision
Elliot Henslovitz	FINRA Member Supervision
Stacie Jungling	FINRA Member Supervision
Brian Kowalski	FINRA Member Supervision
Henry (Hank) Kugaczewski	FINRA Member Supervision
Wendy Lanton	Lantern Investments, Inc.
Kent Lund	GVC Capital LLC
Nicole McCafferty	FINRA Member Supervision
AnnMarie McGarrigle	FINRA Member Supervision
Patricia Monterosso	Credentialing, Registration, Education and Disclosure (CRED)
Elizabeth (Liz) Page	FINRA Member Supervision
Lucy Palmieri	FINRA Market Regulation
Matthew (Matt) Reyburn	FINRA Member Supervision
Greg Ruppert	FINRA Member Supervision
Joseph (Joe) Sheirer	FINRA Member Supervision
Amy Sochard	FINRA Advertising Regulation
William (Bill) St. Louis	FINRA Member Supervision
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Maria Valencia	FINRA Member Supervision
Erin Vocke	FINRA Member Supervision