

October 28, 2021



## 2021 FINRA Small Firm Conference

The Small Firm Virtual Conference focuses on small firms' practices and tips for complying with FINRA rules. Throughout the event, attendees have the opportunity to discuss small firm topics with FINRA senior staff.

**FINRA**<sup>®</sup>

# Agenda

Thursday, October 28

All times are listed in Eastern Time

11:00 a.m. – 11:45 a.m.	<p>▶ <b>Welcome and Fireside Chat</b></p> <p>Featuring FINRA President and CEO Robert Cook, Executive Vice President, National Cause and Financial Crimes (NCFC) Detection Programs Greg Ruppert and Vice President of Member Relations and Education Kayte Toczylowski</p> <p><b>Opening Remarks Speaker:</b> Kayte Toczylowski, FINRA Member Relations and Education</p> <p><b>Speakers:</b> Robert Cook, FINRA Greg Ruppert, FINRA Member Supervision Kayte Toczylowski, FINRA Member Relations and Education</p>
11:45 a.m. – 12:00 p.m.	Break
12:00 p.m. – 12:45 p.m.	<p>▶ <b>Cybersecurity Straight Talk</b></p> <p>It is crucial that small financial firms take proper cybersecurity measures to protect their clients and firm. Join FINRA staff and industry panelists as they discuss the “why” behind threat-informed effective practices applicable to small firms, and how they can fit cybersecurity into their already overloaded schedule.</p> <p><b>Moderator:</b> David (Dave) Kelley, FINRA Member Supervision</p> <p><b>Panelists:</b> Peter Falco, Financial Services Information Sharing and Analysis Center (FS-ISAC) Jennifer Szaro, CRCP®, XML Securities, LLC</p>
12:45 p.m. – 2:00 p.m.	Break
2:00 p.m. – 2:45 p.m.	<p>▶ <b>Regulation Best Interest and Form CRS</b></p> <p>Join FINRA staff and industry panelists as they discuss issues and observations about how firms are complying with the rules. Panelists share resources available to help small firms comply with these requirements, what they are seeing during compliance examinations, and effective practices to maintain compliance.</p> <p><b>Moderator:</b> Meredith Cordisco, FINRA Office of General Counsel</p> <p><b>Panelists:</b> Timothy (Tim) Bidwell, CPA, Hazlett, Burt &amp; Watson, Inc. Nicole McCafferty, FINRA Member Supervision Linde Murphy, M.E. Allison &amp; Co., Inc.</p>
2:45 p.m. – 3:00 p.m.	Break

## CONTINUING EDUCATION (CE) CREDITS

Attendance to this virtual conference qualifies for six (6) Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup> Continuing Education (CE) credits. CRCP<sup>®</sup> CE credit should be self-reported after the conference.

# Agenda *(con't)*

3:00 p.m. – 3:45 p.m.	<p>▶ <b>Gamification, Social Media, and Digital Communications</b></p>
	<p>Attend this session to hear how regulatory experts are evaluating the rapidly changing world of digital communications. Panelists discuss the benefits and risks of gamification features on broker-dealers' apps and websites. They address how firms can effectively supervise digital communications including social media, public appearances, and video content and SEC experts share insights on how dual registrant firms can apply the new Investment Adviser Marketing Rule.</p> <p><b>Moderator:</b> Amy Sochard, FINRA Advertising Regulation</p> <p><b>Panelists:</b> Alicia Goldin, U.S. Securities and Exchange Commission (SEC) Melissa Rovers Harke, U.S. Securities and Exchange Commission (SEC) Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p>
3:45 p.m. – 4:00 p.m.	Break
4:00 p.m. – 4:45 p.m.	<p>▶ <b>AML Monitoring and Anti-Fraud Effective Practices</b></p>
	<p>During this session, FINRA staff and industry practitioners discuss common challenges small firms face in establishing and implementing AML monitoring and effective practices for fraud prevention. Including practical solutions to these challenges that FINRA staff and industry professionals have developed and observed.</p> <p><b>Moderator:</b> Omer Meisel, FINRA Member Supervision</p> <p><b>Panelists:</b> Jason Foye, FINRA Member Supervision James McDowell, FINRA Member Supervision Gargi Sharma, FINRA Member Supervision</p>
4:45 p.m. – 5:00 p.m.	Break
5:00 p.m. – 5:45 p.m.	<p>▶ <b>Remote Inspections and Supervision and Closing Remarks</b></p>
	<p>As a result of having migrated to working from home, many small firms implemented remote supervision plans that included remote branch office inspections. Join FINRA staff and industry practitioners as they share practical tools and effective practices for remote supervision and remote branch office inspections.</p> <p><b>Moderator:</b> Ursula Clay, FINRA Member Supervision</p> <p><b>Panelists:</b> Kosha Dalal, FINRA Office of General Counsel Stefanie Dorozynski, Leigh Baldwin &amp; Co, LLC Jessica Pastorino, M&amp;A Securities Group, Inc. Gina Rettagliata, FINRA Member Supervision</p> <p><b>Closing Remarks Speakers:</b> Kayte Toczylofski, FINRA Member Relations and Education</p>

# Registration

## How to Register

To register, visit [www.finra.org/smallfirm21](http://www.finra.org/smallfirm21) 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](mailto:conreg@finra.org).

## Confirmation Email

Conference fees include attendance to all sessions and conference materials.

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

Individual	
FINRA Member (must provide valid CRD #)	\$100
Non-Member	\$200
Government / Regulator	\$100

  

Group* (Per Person)	
FINRA Member (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.

# Speaker List as of 10/12/21

Name	Company
Timothy (Tim) Bidwell, CPA	Hazlett, Burt & Watson, Inc.
Ursula Clay	FINRA Member Supervision
Robert Cook	FINRA
Meredith Cordisco	FINRA Office of General Counsel
Kosha Dalal	FINRA Office of General Counsel
Stefanie Dorozynski	Leigh Baldwin & Co, LLC
Peter Falco	Financial Services Information Sharing and Analysis Center (FS-ISAC)
Jason Foye	FINRA Member Supervision
Alicia Goldin	U.S. Securities and Exchange Commission (SEC)
Melissa Roverts Harke	U.S. Securities and Exchange Commission (SEC)
David (Dave) Kelley	FINRA Member Supervision
Nicole McCafferty	FINRA Member Supervision
James McDowell	FINRA Member Supervision
Omer Meisel	FINRA Member Supervision
Linde Murphy	M.E. Allison & Co., Inc.
Jessica Pastorino	M&A Securities Group, Inc.
Gina Rettagliata	FINRA Member Supervision
Greg Ruppert	FINRA Office of Member Supervision
Gargi Sharma	FINRA Member Supervision
Amy Sochard	FINRA Advertising Regulation
Jennifer Szaro, CRCP®	XML Securities, LLC
Kayte Toczylowski	FINRA Member Relations and Education
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)