



**CCOutreach BD Regional Seminar
June 8, 2009**

The Gleacher Center
450 N. Cityfront Plaza Drive
Chicago, IL

Registration (8:30 a.m. – 9:00 a.m.)

I. Welcome (9:00 a.m. – 9:15 a.m.)

Merri Jo Gillette, Regional Director, SEC Chicago Regional Office

II. Current Regulatory Environment (9:15 a.m. – 10:15 a.m.)

Staff from the SEC, FINRA and an industry CCO address the impact of regulatory and compliance issues that have emerged in the current financial environment. The discussion includes current areas of regulatory concern and examination priorities and some specific financial and operational issues as well as risk management.

Merri Jo Gillette, Regional Director, SEC Chicago Regional Office (*moderator*)

Thomas Clough, Associate Vice President and District Director, FINRA Kansas City District Office

Barbara Lorenzen, Associate Regional Director, SEC Chicago Regional Office

Robert Mooney, Chief Compliance Officer, Wells Fargo Advisors

Break (10:15 a.m. – 10:30 a.m.)

III. Electronic Recordkeeping and Electronic Communications (10:30 a.m. – 11:30 a.m.)

Panelists, consisting of staff from the SEC, FINRA and an industry CCO, discuss the benefits, challenges and compliance considerations associated with technology. Panelists address specific topics such as electronic storage, use of company and personal email, instant messaging, unapproved Web sites, Regulation S-P and the supervisory challenges associated with each of these areas.

Daniel Gregus, Assistant Regional Director, SEC Chicago Regional Office (*moderator*)

George Jacobus, Branch Chief, Broker-Dealer & Transfer Agent Examinations, SEC Chicago Regional Office

Shawn O'Neill, Examination Manager, FINRA Chicago District Office

Jeffrey Williams, Vice President and Chief Compliance Officer, Northwestern Mutual



Break (11:30 a.m. – 11:45 a.m.)

IV. Supervision – Ask the CCO (11:45 a.m. – 12:45 p.m.)

This panel focuses on the supervisory structures, procedures and systems as they relate to the firm’s overall business activities. During this “Ask the CCO” session, staff from SEC and FINRA and two CCOs discuss issues and answer questions related to strategies for managing, monitoring and reporting risk from the perspective of different business models. The panel will also address specific issues such as integrating new product lines and general sales practice supervision.

Carla Romano, Senior Vice President and Regional Director, FINRA Midwest Region
(*moderator*)

Eric Bederman, Chief Operating Officer, Bernardi Securities

Tina Diamantopoulos, Senior Special Counsel of Examinations, SEC Chicago Regional Office

William Dondlinger, Associate District Director, FINRA Kansas City District Office

Jeffrey Freiburger, Managing Director/Compliance Director, Robert W. Baird and Co.

V. Closing Remarks (12:45 p.m. – 1:00 p.m.)

Carla Romano, Senior Vice President and Regional Director, FINRA Midwest Region