



**CCOutreach BD Regional Seminar
June 4, 2009**

Hilton Garden Inn, Denver Downtown
1400 Welton Street
Denver, CO

Registration (8:30 a.m. – 9:00 a.m.)

I. Welcome (9:00 a.m. – 9:15 a.m.)

Joseph McCarthy, Senior Vice President and Regional Director, FINRA West Region

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 compliance challenges within the current regulatory environment, compliance issues related to sales and training and valuation and verification of customer assets.

Lance Burkett, Examination Manager, FINRA Denver District Office (*moderator*)

Valerie Amburn, Examination Manager, FINRA Seattle Office

Tom Amy, Branch Chief, SEC Denver Regional Office

Kent Lund, Executive Vice President and Chief Compliance Officer, George K. Baum & Company

Break (10:15 a.m. – 10:30 a.m.)

III. Enterprise-Wide Supervision (10:30 a.m. – 11:30 a.m.)

This panel, consisting of staff from the SEC, FINRA and an industry CCO, focuses on supervisory structures, procedures and systems as they relate to the firm's overall business activities. Discussion highlights strategies to manage, monitor and report risk from the perspective of different business models, and addresses specific issues such as integrating new product lines, outside business activities and outsourcing of certain functions (*e.g.*, back office and financial operations).

Lonnie Morgan, Assistant Regional Director, SEC Denver Regional Office (*moderator*)

Jodee Brubaker-Rager, Chief Compliance Officer, Geneos Wealth Management Inc.

Bill Dodd, Principal Examiner, FINRA Denver District Office

Denise Saxon, Branch Chief, SEC Denver Regional Office



Break (11:30 a.m. – 11:45 a.m.)

IV. Regional Hot Topics (11:45 a.m. – 12:45 p.m.)

Staff from the SEC, FINRA and an industry CCO discuss specific issues causing compliance concerns, such as anti-money laundering, dual registrant issues, outside business activities and private securities transactions.

Gerald Dougherty, Associate Director, FINRA Denver District Office (*moderator*)

Adam Carmel, President and Chief Compliance Officer, Larimer Capital Corporation

Michael Homer, Associate Principal Examiner, FINRA Denver District Office

Matt Jenkins, Staff Accountant, SEC Denver Regional Office

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

Kevin Goodman, Associate Regional Director, SEC Denver Regional Office