



CCOutreach BD Regional Seminar
June 2, 2009

Federal Reserve Bank of Atlanta
1000 Peachtree Street, NE
Atlanta, GA

Registration (8:30 a.m. – 9:00 a.m.)

I. Welcome (9:00 a.m. – 9:15 a.m.)

Katherine Addleman, Regional Director, SEC Atlanta Regional Office

Jeannie Jans, Senior Vice President and Regional Director, FINRA South Region

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

Staff from the SEC and 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 as well as valuation, liquidity and how to monitor your firm's financial condition.

Howard Dennis, Jr., Assistant Regional Director, SEC Atlanta Regional Office (*moderator*)

John Fahey, Branch Chief, Office of Chief Counsel, SEC Division of Trading and Markets

Thomas Kicak, Chief Compliance Officer, Suntrust Robinson Humphrey, Inc.

Randall Roy, Branch Chief, Office of Chief Counsel, SEC Division of Trading and Markets

Daniel J. Stefek, Associate Vice President and District Director, FINRA Atlanta District Office

Break (10:15 a.m. – 10:35 a.m.)

III. Enterprise-Wide Supervision (10:35 a.m. – 11:30 a.m.)

This panel, consisting of staff from the SEC, FINRA and an industry CCO, focuses on the 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 electronic supervision and email monitoring.

Keith E. Hinrichs, District Director, FINRA New Orleans District Office (*moderator*)

Beth Burns, Chief Compliance Officer, Synovus Securities, Inc.

Clinton R. Johnson, Regulatory Principal, FINRA Atlanta District Office

Dave McClellan, Branch Chief, SEC Atlanta Regional Office

Break (11:30 a.m. – 11:50 a.m.)



IV. Supervisory Issues Relating to Outside Business Activities and Private Securities Transactions (11:50 a.m. – 12:45 p.m.)

This panel, consisting of staff from the SEC, FINRA and an industry CCO, focuses on supervision of registered representatives that are engaged in other business and securities activities. The session explores the rule requirements and other “red flags” that require increased scrutiny by compliance and supervisors. Discussions specifically address supervisory issues related to registered representatives who are also registered investment advisers.

Mitchell C. Atkins, Vice President and District Director, FINRA Boca Raton District Office
(moderator)

Ruth Burgess, Chief Compliance Officer, Invest Financial Corporation

William L. Kallbreier, Principal Examiner, FINRA Atlanta District Office

Anthony D. Russell, Branch Chief, SEC Atlanta Regional Office

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

Daniel J. Stefek, Associate Vice President and District Director, FINRA Atlanta District Office

James L. Carley, Associate Regional Director, SEC Atlanta Regional Office