



**CCOutreach BD Regional Seminar
July 22, 2009**

The Federal Reserve Bank of New York
33 Liberty Street
New York, NY

Registration (8:30 a.m. – 9:00 a.m.)

I. Welcome (9:00 a.m. – 9:15 a.m.)

Robert A. Sollazzo, Associate Regional Director, SEC New York Regional Office

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 capital compliance, financial and operational issues, risk management, trading, short sales and information barriers.

Mary Ann Gadziala, Associate Director, Office of Compliance Inspections and Examinations, SEC (*moderator*)

Robert Mass, Managing Director and Global Head of Compliance, Securities Division, Goldman, Sachs & Co.

Patrick Tominey, Associate Vice President, FINRA Member Regulation

Break (10:15 a.m. – 10:30 a.m.)

III. Recordkeeping / Information Protection (10:30 a.m. – 11:30 a.m.)

Panelists discuss the benefits, challenges and compliance considerations associated with technology (*e.g.*, email, instant messaging and jump drives). Staff from the SEC and FINRA and an industry professional also address topics such as storage, preservation and production of documents, as well as new developments concerning customer protection in relation to Regulation S-P.

John Hickey, Associate District Director, FINRA New York District Office (*moderator*)

Ethan Allfree, Branch Chief, SEC New York Regional Office

Mark J. Happe, Acting President and Chief Compliance Officer, MMC Securities Corp.

Break (11:30 a.m. – 11:45 a.m.)



IV. Enterprise-Wide Supervision (11:45 a.m. – 12:45 p.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 outside business activities, supervision of electronic communications, business continuity planning and AML.

Irfan Gilani, Examination Manager, FINRA New York District Office (*moderator*)

Jodi Heitner, Chief Compliance Officer, JNK Securities Corp.

Ellen Hersh, Senior Special Counsel, SEC New York Regional Office

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

Alissa Robinson, Associate District Director, FINRA New York District Office