



Compliance Outreach Program
for Broker-Dealers
Washington, DC
July 14, 2015
Agenda

Registration (8:30 am – 10:30 am)

Welcome and Opening Remarks (10:30 am – 11:00 am)

Mary Jo White, *Chair, SEC*
Kevin W. Goodman, *National Associate Director, Broker-Dealer Examination Program, Office of Compliance Inspections and Examinations, SEC*
Susan F. Axelrod, *Executive Vice President, Regulatory Operations, FINRA*

Panel 1: Cybersecurity (11:00 am – 12:00 pm)

Panelists will discuss general examination findings, industry practices including compliance with relevant regulations and control functions designed to mitigate cybersecurity risk.

Christopher Hetner, *Cybersecurity Lead, Technology Controls Program, Office of Compliance Inspections and Examinations, SEC (Moderator)*
Lon T. Dolber, *Chief Executive Officer, Chief Information Officer, American Portfolio Financial Services, Inc.*
Jenny Menna, *Cybersecurity Partnership Executive, U.S. Bank*
Daniel M. Sibears, *Executive Vice President, Counsel, Regulatory Operations/Shared Services, FINRA*

Lunch will be on your own (12:00 pm – 1:15 pm)

Panel 2: Anti-Money Laundering (1:15 pm – 2:00 pm)

Panelists will discuss anti-money laundering risks and vulnerabilities including bank-like activity, direct market access from high risk jurisdictions, micro-cap securities and suspicious activity reporting obligations and expectations.

Denise Saxon, *Assistant Regional Director, Denver Regional Office, SEC (Moderator)*
Sterling Daines, *Managing Director, Global Compliance Division, Goldman, Sachs & Co.*
Sarah Green, *Senior Director, Enforcement, FINRA*
Patricia K. Ziermann, *Senior Vice President, Dougherty & Company LLC*

Break (2:00 pm – 2:15 pm)

Panel 3: Firm and Branch Supervision and Sales Practices (2:15 pm – 3:30 pm)

Panelists will discuss supervisory practices and reviews relating to outside business activities, disclosures, recidivist behavior, customer complaints and churning. Discussions will also include activity in retirement accounts and concerns relating to senior investors.

Michael Rufino, *Executive Vice President, Head of Member Regulation – Sales Practice, FINRA (Moderator)*
Gloria Greco, *Managing Director, Co-Chief Compliance Officer, Bank of America-Merrill Lynch, Pierce, Fenner & Smith Inc.*
Daniel Gregus, *Associate Regional Director, Broker-Dealer Examination Program, Chicago Regional Office, SEC*
Marion S. Halliday, *Senior Vice President, Chief Compliance Officer, Janney Montgomery Scott LLC*



Break (3:30 pm – 3:45 pm)

Panel 4: Insights from SEC and FINRA Examination Programs (3:45 pm – 4:15 pm)

Senior leaders from the SEC and FINRA examination programs discuss a range of topics affecting broker-dealers from a firm and branch office perspective.

Kevin W. Goodman, *National Associate Director, Broker-Dealer Examination Program, Office of Compliance Inspections and Examinations, SEC*

Bill Wollman, *Executive Vice President, Member Regulation – Risk Oversight and Operational Regulation (ROOR), FINRA*

Closing Remarks (4:15 pm – 4:30 pm)

Kevin W. Goodman, *National Associate Director, Broker-Dealer Examination Program, Office of Compliance Inspections and Examinations, SEC*

Michael Rufino, *Executive Vice President, Head of Member Regulation - Sales Practice, FINRA*