



Compliance Outreach Program for Broker-Dealers

Federal Reserve Bank of Atlanta
1000 Peachtree Street, NE
Atlanta, GA
April 20, 2016

Registration and Continental Breakfast (8:00 am – 9:00 am)

Welcome and Opening Remarks (9:00 am – 9:15 am)

William Royer, *Associate Regional Director, Atlanta Regional Office, SEC*

Panel 1: Cybersecurity (9:15 am – 10:30 am)

Panelists will address current cybersecurity threats impacting broker-dealer firms and the securities market including mitigation approaches. Panelists will also discuss risks, challenges and cybersecurity programs relating to topics such as governance, risk assessment, employee awareness, access rights, third-party vendors, data loss protection, and incident response.

Richard Hannibal, *Assistant Director, Broker-Dealer Examination Program, Office of Compliance Inspections and Examinations, SEC (moderator)*

Christopher Hetner, *Cybersecurity Lead, Technology Controls Program, Office of Compliance Inspections and Examinations, SEC*

David Kelley, *Surveillance Director, Kansas City District Office, FINRA*

Charles Lucas, *Chief Compliance Officer, General Counsel, Elevation LLC*

Break (10:30 am – 10:45 am)

Panel 2: Senior Investors (10:45 am – 12:00 pm)

Panelists will discuss the risks and supervisory concerns associated with products commonly sold to seniors, in addition to marketing and suitability considerations when working with senior investors. Panelists will also discuss the ways firms address senior-specific issues such as diminished capacity and elder financial abuse.

Anthony Russell, *Senior Regulatory Accountant, Atlanta Regional Office, SEC (moderator)*

Yvette Panetta, *Deputy District Director, Boca Raton District Office, FINRA*

Rebecca Segrest, *Senior Regional Counsel, Enforcement, Atlanta District Office, FINRA*

Daniel Woodring, *Chief Compliance Officer, PFS Investments, Inc.*

Insights from SEC and FINRA Examination Programs and Closing Remarks

(12:00 pm – 12:30 pm)

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

William Royer, *Associate Regional Director, Atlanta Regional Office, SEC*

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