Registration (12:00 pm – 1:00 pm)

Welcome and Opening Remarks (1:00 pm – 1:15 pm)

David Glockner, Regional Director, Chicago Regional Office, SEC
Ed Wegener, Senior Vice President, Midwest Regional Director, FINRA

Panel 1: Municipal Priorities (1:15 pm – 2:15 pm)
Panel will discuss regulatory concerns and industry practices regarding the relationship between financial advisors and underwriters, due diligence, pricing, gifts and gratuities, and compliance obligations under federal securities laws, MSRB and FINRA rules.

Daniel R. Gregus, Associate Regional Director, Chicago Regional Office, SEC (Moderator)
Cindy Friedlander, Director, Fixed Income Regulation, Regulatory Operations, FINRA
Steve Vilim, Exam Manager, Chicago Regional Office, SEC
Eric Field, Director of Equity Capital Markets Compliance, Robert W. Baird & Co.
Pamela K. Ziermann, Senior Vice President, Dougherty & Company LLC

Break (2:15 pm – 2:30 pm)

Panel 2: Conflicts of Interest (2:30 pm – 3:30 pm)
Panel will address why conflicts matter and how to identify and manage conflicts in retail and diversified service brokerage firms. The discussion will include an overview of regulatory requirements, industry trends, conflicts failures, and examples of effective compliance and supervisory programs for avoiding and mitigating conflicts.

Tanya Solov, Director, Illinois Securities Department (Moderator)
John Brodersen, Assistant Regional Director, Chicago Regional Office, SEC
Steven Polansky, Senior Director, Office of Regulatory Programs, FINRA
Kenneth Wagner, Partner, Director of Compliance, William Blair & Company, LLC
Kimberlee Levy, Chief Compliance and Legal Officer, Concorde Investment Services, LLC

Break (3:30 pm -3:45 pm)

Panel 3: Cybersecurity (3:45 pm-4:45 pm)
Panelists will address current cybersecurity threats impacting broker-dealer firms and the securities markets 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.

David Glockner, Regional Director, Chicago Regional Office, SEC (Moderator)
Jim Lundy, Associate General Counsel, ABN AMRO Clearing Chicago
Geeta Malhotra, Partner, Sidley Austin LLP
Greg Markovich, Regulatory Principal, FINRA
Don Hirata, Branch Chief, Technology Controls Program, Chicago Regional Office, SEC

Closing Remarks (4:45 pm-4:50 pm)

David Glockner, Regional Director, Chicago Regional Office, SEC