



Compliance Outreach Program for Broker-Dealers

Federal Reserve Bank of Dallas
2200 North Pearl Street
Dallas, Texas
June 7, 2016

Agenda

Registration (12:30 pm – 1:30 pm)

Welcome and Opening Remarks (1:30 pm – 2:00 pm)

Shamoil Shipchandler, *Director, Fort Worth Regional Office, SEC*
Erin C. Vocke, *Vice President, Director, Dallas/New Orleans District Office, FINRA*

Panel 1: Supervision (2:00 pm – 3:15 pm)

Panelists will discuss overall supervisory structure and provide guidance on how regulatory agencies and broker-dealer firms are examining for, or complying with, the rules. Panelists will address the effective use of technology and other resources and the design of risk-based reviews. Topics such as branch office supervision, email monitoring and outside business activities will also be discussed.

Scott H. Maestri, *Associate Director, Dallas District Office, FINRA (moderator)*
Scott O. Fertig, *Securities Compliance Examiner, Fort Worth Regional Office, SEC*
Leslie Jallans, *Chief Compliance Officer, NEXT Financial Group Inc*
David Williams, *President, Williams Financial Group Inc*

Break (3:15 pm – 3:30 pm)

Panel 2: Cybersecurity (3:30 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 the legal landscape and share industry best practices.

Shamoil Shipchandler, *Director, Fort Worth Regional Office, SEC (moderator)*
Richard J. "Jay" Johnson, *Attorney, Jones Day*
Chad M. Pinson, *Managing Director, Stroz Friedberg*

Closing Remarks (4:45 pm – 5:00 pm)

Shamoil Shipchandler, *Director, Fort Worth Regional Office, SEC*