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 – 3:15pm)
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