



Compliance Outreach Program

for Broker-Dealers

Los Angeles, CA

April 30, 2014

Agenda

Registration and Refreshments (Noon – 1:00 pm)

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

Michele Layne, Regional Director, Los Angeles Regional Office, SEC

David Greene, Regional Director, Los Angeles District Office, FINRA

Panel 1: Trends and Compliance Considerations at Dually Registered and Affiliated Investment Advisers and Broker Dealers (1:15 pm – 2:15 pm)

Karol Pollock, Deputy Associate Regional Director, National Exam Program, Los Angeles Regional Office, SEC (Moderator)

David Greene, Regional Director, Los Angeles District Office, FINRA

Sean Haley, Chief Compliance Officer, National Planning Corporation

Kevin Schopp, Special Counsel, Division of Trading and Markets, SEC

Networking Break (2:15 pm – 2:30 pm)

Panel 2: Tailoring Firm Element Training to Business and Regulatory Concerns (2:30 pm – 3:30 pm)

Jon Wieman, Attorney-Advisor, National Exam Program, Los Angeles Regional Office, SEC (Moderator)

Colleen Diles, Surveillance Director, Los Angeles District Office, FINRA

Sean Haley, Chief Compliance Officer, National Planning Corporation

Networking Break (3:30 pm – 3:45 pm)

Panel 3: Broker-Dealer Due Diligence: Private Placements and Other Alternative Investments

(3:45 pm – 4:45 pm)

Cindy Eson, Assistant Regional Director, National Exam Program, Los Angeles Regional Office, SEC (Moderator)

Chris LeVasseur, Associate Director, Los Angeles District Office, FINRA

Kevin Schopp, Special Counsel, Division of Trading and Markets, SEC

Jon Self, Accountant, National Exam Program, Los Angeles Regional Office, SEC

Closing Remarks (4:45 pm – 5:00 pm)