



Compliance Outreach Program

for Broker-Dealers

Miami, FL

June 4, 2014

Agenda

Registration and Continental Breakfast (9:00am - 10:00 am)

Welcome and Opening Remarks (10:00 am – 10:15 am)

Eric Bustillo, *Regional Director, Miami Regional Office, SEC*

Panel 1: Priorities and Goals (10:15 am – 11:00 am)

Panelists will discuss the 2014 SEC and FINRA examination and enforcement priorities and respond to related questions from the audience.

John Mattimore, *Associate Regional Director, Miami Regional Office, National Exam Program, SEC (Moderator)*

Nicholas Monaco, *Assistant Regional Director, Miami Regional Office, National Exam Program, SEC*

Jeff Pasquerella, *Regional Director and Vice President, South Region, FINRA*

Break (11:00 am – 11:15 am)

Panel 2: Anti-Money Laundering (11:15 am – 12:00 pm)

Panelists will discuss current issues and topics related to the Anti-Money Laundering landscape, including foreign finders.

John Mattimore, *Associate Regional Director, Miami Regional Office, National Exam Program, SEC (Moderator)*

Debbie Williamson, *Examination Manager, Miami Regional Office, National Exam Program, SEC*

Blake Snyder, *Surveillance Director, Florida District Office, FINRA*

Break (12:00 pm – 12:15 pm)

Panel 3: Enforcement (12:15 pm – 1:00 pm)

Panelists will discuss the 2014 SEC and FINRA examination and enforcement priorities and related enforcement actions.

John Mattimore, *Associate Regional Director, Miami Regional Office, National Exam Program, SEC (Moderator)*

Jeri Dresner, *Senior Special Counsel, Miami Regional Office, National Exam Program, SEC*

David Klafter, *Regional Chief Counsel, South Region, FINRA*

Closing Remarks (1:00 pm – 1:15 pm)

John Mattimore, *Associate Regional Director, Miami Regional Office, National Exam Program, SEC*