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