



***Compliance Outreach Program
for Broker-Dealers
New York, New York
June 30, 2014***

Agenda

Registration (8:00 am – 9:00 am)

Welcome and Opening Remarks (9:00 am – 9:15 am)

*Michael Solomon, Senior Vice President & Senior Regional Director, FINRA
New York, Philadelphia, Boston, and Woodbridge, NJ District Offices*

Panel 1: Current Regulatory Risks (9:15 am – 10:15 am)

*Robert Sollazzo, Associate Regional Director, National Exam Program, New
York Regional Office, SEC (Moderator)*

Irfan Gilani, Associate District Director, FINRA New York District Office

Tracy Calder, Managing Director, JPMorgan Chase

*Frank Tauches, Executive Vice President, General Counsel and Chief Risk
Officer, American Portfolios Holdings, Inc.*

Networking Break (10:15 am – 10:30 am)

Panel 2: Cybersecurity (10:30 am – 11:30 am)

*Dan Sibears, Executive Vice President & Counsel, Regulatory Operations/Shared
Services, FINRA (Moderator)*

Ed Schmidt, Senior Technology Officer, National Examination Program, SEC

Dennis Dickstein, Chief Privacy and Information Security Officer, UBS

Vincent Aniello, Global Head of Infrastructure, Portware LLC

Question and Answer Session (11:30 am – 11:50 am)

Closing Remarks (11:50 am – 12:00 pm)

Andrew Calamari, Director, New York Regional Office, SEC