Regional Compliance Outreach Program
for Broker-Dealers
Philadelphia, PA
June 16, 2014

Agenda

Registration and Continental Breakfast (8:00 am – 9:00 am)

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

Sharon B. Binger, Regional Director, Philadelphia Regional Office, SEC
Robert B. Kaplan, VP & District Director, Philadelphia District Office, FINRA

Panel 1: Firm Supervision: Due Diligence of New Complex Products; Outside Business Activities and Private Securities Transactions; Branch Examinations (9:15 am – 10:15 am)

Bill Campbell, Examination Manager, Philadelphia Regional Office, SEC (Moderator)
Mark W. Cresap, President, Cresap, Inc.
Steve Kach, Examination Manager, Philadelphia District Office, FINRA
Dave Spencer, Examination Manager, Philadelphia Regional Office, SEC

Break (10:15 am – 10:30 am)

Panel 2: Emerging Trends and Common Findings: Cyber Security, Common Findings of SEC and FINRA Examinations (10:30 am – 11:30 am)

Deborah Davies, Associate District Director, Philadelphia, District Office, FINRA (Moderator)
Diane J. Hagy, Assistant Regional Director, Philadelphia Regional Office, SEC
James A. O’Leary, Staff Accountant, Philadelphia Regional Office, SEC
Robert J. Thielmann, SVP and Chief Information Officer, Janney Montgomery Scott, LLC

Panel 3: Financial Topics: Surveillance Issues for Net Capital and Computation Errors at Small and Medium Size Firms (11:30 am – 12:30 pm)

AnnMarie McGarrigle, Surveillance Director, Philadelphia District Office, FINRA (Moderator)
Tracy D. Berry, Staff Accountant, Philadelphia Regional Office, SEC
Maxine J. Chou, CFO, SEI Investments Distribution Co.
Eric Gray, Principal Regulatory Coordinator, Philadelphia District Office, FINRA