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***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*