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## ***Compliance Outreach Program for Broker-Dealers***

Federal Reserve Bank of San Francisco  
August 18, 2016

### **Agenda**

**Registration** (12:00 pm – 1:00 pm)

**Welcome and Opening Remarks** (1:00 pm – 1:15 pm)

Jina L. Choi, *Director, San Francisco Office, SEC*

**Panel 1: Cyber-security** (1:15 pm – 2:30 pm)

Panelists will address current cybersecurity threats impacting broker-dealer firms and the securities market including mitigation approaches. Panelists will also discuss risks, challenges and cybersecurity programs relating to topics such as governance, risk assessment, employee awareness, access rights, third-party vendors, data loss protection, and incident response.

Kristin Snyder, *Associate Regional Director of Examinations, San Francisco Office, SEC*  
(Moderator)

Shanti Radkar, *Staff Accountant, San Francisco Office, SEC*

Rafael Skovron, *Examination Manager and Cyber Specialist, San Francisco District Office, FINRA*

Enrique M. Alvarez, *Supervisory Special Agent, San Francisco Field Office, FBI*

Greg Ruppert, *Senior Vice President, Chief of Financial Crimes Investigations Group, Charles Schwab & Co., Inc.*

**Break** (2:30 pm – 2:45 pm)

**Panel 2: Managing Conflicts of Interest** (2:45 pm – 4:00 pm)

Panelists will discuss conflict management frameworks, as well as conflicts of interest relating to new and existing products, compensation and hiring. Panelists will also address their examination focus for these and other conflicts related topics.

Donald Lopezi, *Senior Vice President and Regional Director, West Region, FINRA*  
(Moderator)

Stephanie Wilson, *Assistant Regional Director, Broker-Dealer Examination Program, San Francisco Office, SEC*

Thomas Mellett, *Deputy Director, San Francisco District Office, FINRA*

Christopher D. Charles, *President, Chief Executive Officer, Chief Compliance Officer, Wulff, Hansen & Co.*

**Closing Remarks** (4:00 pm – 4:15 pm)

Donald Lopezi, *Senior Vice President and Regional Director, West Region, FINRA*