**AGENDA**

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| **Sunday, May 15** |
| 5:00 p.m. – 7:00 p.m. | Registration & Information |
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| **Monday, May 16** |
| 7:30 a.m. – 6:00 p.m. | Registration & Information |
| 7:30 a.m. – 5:15 p.m. | Networking With ExhibitorsFINRA IDEA – Innovation, Demonstration & Engagement Area |
| 7:30 a.m. – 9:30 a.m. | General Continental Breakfast and Seating |
| 9:30 a.m. – 9:40 a.m. | **Plenary I: Welcome Remarks (V)**Kayte Toczylowski opens the conference.**Speaker:** Kayte Toczylowski, FINRA Member Relations and Education |
| 9:40 a.m. – 10:00 a.m. | **Plenary II: Keynote Address: A Keynote Address with FINRA's President and Chief Executive Officer Robert Cook (V)** Join us for Keynote address by FINRA President and CEO Robert Cook.**Speaker:**Robert Cook, FINRA |
| 10:00 a.m. – 11:00 a.m. | **Plenary III: A Conversation with Chair Gary Gensler of the U.S. Securities and Exchange Commission (SEC) (V)** Join FINRA President and CEO Robert Cook and SEC Chair Gary Gensler for a conversation about industry topics impacting the markets and the financial services industry.**Speaker:** Robert Cook, FINRA**Speaker:**Gary Gensler, U.S. Securities and Exchange Commission (SEC) |
| 11:00 a.m. – 11:15 a.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 11:15 a.m. – 12:15 p.m. | **Concurrent Sessions I:****Continuing Education Changes (V)**During this session, panelists discuss changes, and answer questions around the Securities Industry Continuing Education program.**Left of Boom: Fraud Prevention Solutions (V)**Join FINRA staff and industry experts as they discuss "left of boom". This means identifying the threat and preventing a disruption before an attack should occur. Panelists share effective left and right of boom policies and procedures.**Senior and At-Risk Investors (V)**Join FINRA staff and industry practitioners as they discuss legal and regulatory tools and effective practices to assist firms and financial professionals in serving and protecting senior and other at-risk investors.**Advanced Analytics: Transforming the Industry with People, Processes & Technology (V)**Whether you’re new to the topic or an expert in machine learning, gain practical knowledge to leverage expertise, reimagine problems, deploy capabilities, and capture business value using advanced analytics while controlling for risks and addressing regulatory concerns. During the session panelists discuss successes, challenges, and best practices in implementing advanced analytics. |
| 12:15 p.m. – 1:15 p.m. | General Lunch |
| 12:15 p.m. – 1:15 p.m. | Certified Regulatory and Compliance Professionals (CRCP)® Program Luncheon for Graduates Are you a CRCP ® graduate? Join us for lunch and networking with your former classmates and other CRCP graduates. Reminisce on your time at program and expand your network of CRCP alumni. Space is limited – only guests registered for the CRCP Luncheon may attend. |
| 1:15 p.m. – 1:45 p.m. | Dessert With Exhibitors |
| 1:45 p.m. – 2:45 p.m. | **Concurrent Sessions II:****Environmental, Social and Governance (ESG) Developments (V)**Join FINRA staff and industry practitioners as they discuss ESG developments. This session includes a discussion on current regulatory expectations and ways to effectively implement and manage ESG investing at your firm.**FINRA's Examination and Risk Monitoring Program (V)**Join FINRA staff as they discuss FINRA’s examination and risk monitoring programs. During the session, panelists review various examination and risk monitoring trends and current rulemaking initiatives.**Market Regulation and Transparency Services Priorities (V)**This session provides updates on market regulation and transparency priorities, including current initiatives and rulemaking. FINRA panelists share thoughts on equities, options, and fixed income compliance programs.**social media and the Rise of the Influencers (V)**Human behavior has evolved as a result of the pandemic. For the financial services industry, the rapid acceleration of digital adoption has dramatically changed the way we engage with each other and our clients. Join FINRA staff and industry panelists as they discuss how social media and social media influencers are affecting the industry. Panelists discuss new developments, effective compliance practices, and how their firms are managing social media obligations.2:45 p.m. – 3:00 p.m.Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 3:00 p.m. – 4:00 p.m. | **Concurrent Sessions III:****Hot Topics in FinTech (V)**Join FINRA staff and industry practitioners as they discuss the growing area of FinTech (Financial Technology). The session includes a discussion on new and innovative ways firms are integrating fintech into their business models and the importance of a strong compliance structure to address regulatory obligations.**Navigating the Clearing Relationship (V)**This session is designed to assist firms in making the most of the relationship with their clearing firm. Panelists discuss types of data and services clearing firms offer, and practices for integrating these tools into introducing firms’ compliance processes.**Insider Trading, Fraud and Market Abuse (V)**This session focuses on recent or noteworthy insider trading, fraud and market abuse cases. Panelists highlight emerging trends, provide tips to identify potential “red flags”, and discuss who to contact if a fraudulent scheme is suspected.**Alternative Investments and Complex Products (V)**This session addresses developments related to alternative investments and complex products. The session emphasizes the importance of understanding product features, characteristics, and their supervisory challenges. |
| 4:00 p.m. – 4:15 p.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 4:15 p.m. – 5:15 p.m. | **Plenary Session IV: Keynote TBD (V)****Introduction:** Kayte Toczylowski, FINRA Member Relations and Education**Speaker:** TBD |
| 5:30 p.m. – 6:30 p.m. | Networking Reception Sponsored by SMARSH |
| 6:30 p.m. | Buses begin loading at Marquis Rear Lobby |
| 7:00 p.m. - 9:00 p.m. | Opening Night Reception at the National Portrait Gallery |
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| **Tuesday, May 17** |
| 7:30 a.m. - 6:00 p.m. | Registration & Information |
| 7:30 a.m. - 6:00 p.m. | Networking With ExhibitorsFINRA IDEA – Innovation, Demonstration & Engagement Area |
| 7:30 a.m. - 8:30 a.m. | General Continental Breakfast |
| 8:30 a.m. - 9:30 a.m. | **Concurrent Sessions IV:****Vendor Management: Due Diligence and Oversight (V)**During this session, FINRA staff walk through various important considerations when choosing new vendors. Panelists discuss finding a technical solution that is a good fit for your firm, tips on performing an efficient due diligence review, contract issues, and advice on implementing the new software.**Remote Supervision (V)**Join FINRA staff and industry panelists as they discuss what they have learned from working remotely. During the session, panelists discuss effective controls, procedures, and processes that member firms are incorporating to address supervision in a remote work environment.**Options (V)**Join FINRA staff and industry panelists as they discuss regulatory issues impacting options markets.**Conflicts of Interest in Capital Markets and Investment Banking (V)**Join FINRA staff and industry professionals as they discuss helpful tips and tools for managing conflicts of interest in capital markets and investment banking firms. Panelists discuss practices that raise conflict of interest concerns and how to remedy these issues. |
| 9:30 a.m. - 9:45 a.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking With Exhibitors |
| 9:45 a.m. - 10:45 a.m. | **Concurrent Sessions V:****Challenges Facing Firms in Monitoring AML and Protecting Against Fraudulent Activities (V)**This session reviews challenges facing firms in monitoring and protecting against fraudulent activities. Join FINRA staff and industry panelists as they provide examples of effective controls their firms have put into place to address AML risks.**Communications Compliance: Current Developments (V)**Join FINRA staff and industry panelists for a discussion of current communications compliance and marketing practices. Topics include recent guidance on how FINRA’s communications rules apply in a virtual environment, and how firms can communicate compliantly about ESG and other current investment trends. Panelists also talk about the regulatory implications of complex products and services such as crypto assets and emerging technologies in the marketing compliance space.**Restricted Firm Obligations: What You Need to Know (V)**Join FINRA staff as they discuss Rule 4111 (Restricted Firm Obligations) which went into effect in January 2022. During the session, panelists review the new obligation and criteria for identification.**Considerations and Practices for Supervising Independent Contractors (V)**This panel of FINRA staff and industry members addresses common challenges in supervising independent contractors. The session offers examples and suggestions for firms to use in their everyday supervision and compliance efforts. The panel also discusses existing rules and related guidance and shares effective industry practices. |
| 10:45 a.m. - 11:00 a.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking With Exhibitors |
| 11:00 a.m. - 12:00 p.m. | **Concurrent Sessions VI:****Trends and Developments in Private Placements (V)**This session focuses on industry and regulatory developments related to private placements. During the session, panelists discuss common concerns and recent regulatory findings. Speakers provide practical information and compliance tips for firms offering these products and discuss Regulatory Notice 21-10.**Enforcement Developments (V)**This session provides an overview of new developments and trends in enforcement, including enforcement priorities. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities and provide guidance on regulatory and compliance practices.**Financial and Operational Effective Practices (V)**This session provides an overview of current financial and operational topics and recent developments in financial and operational rules and requirements applicable to broker-dealers. Join FINRA staff and industry practitioners as they discuss current financial and operational risks and issues impacting firms as well as new and proposed rules. Attendees also learn effective practices taken by compliance and risk professionals to monitor financial and operational risks.**Hot Topics in Municipal Securities and Other Fixed Income (V)**FINRA and MSRB staff discuss recent enforcement actions related to municipal securities (e.g., 529 Plans, municipal short positions), examination priorities, fixed income-related rulemaking and common problems uncovered during Member Supervision and Market Regulation reviews. |
| 12:00 p.m. - 1:00 p.m. | General Lunch |
| 1:00 p.m. - 1:45 p.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 1:00 p.m. - 1:45 p.m. | **Topic Based Networking:**Desserts and Networking with Capital Markets and Investment Banking FirmsDesserts and Networking with Diversified and Carrying & Clearing FirmsDesserts and Networking with Retail FirmsDesserts and Networking with Trading & Execution Firms |
| 1:45 p.m. - 2:45 p.m. | **Concurrent Sessions VII:****Navigating Special Purpose Acquisition Companies (SPACs) (V)**The SPACs market has undergone rapid growth in recent years. Join FINRA staff as they discuss the difference between a SPAC and an IPO, and some of the risks of investing in SPACs.**Changing Firms Digital Experience (V)**FINRA has created a culture of innovation and is an industry leader in the use of its technology tools and resources. Join FINRA panelists as they discuss FINRA’s mission to change the digital experience for our member firms. During the session, learn about innovative ways FINRA is partnering with the industry to provide the best possible service.**Gamification, Mobile Apps and Digital Engagement (V)**Attend this session to hear how regulatory and industry experts are evaluating the rapidly changing world of digital communications and digital engagement practices. Panelists discuss risks and benefits of gamification features on broker-dealers’ apps and websites. They address how firms can effectively supervise digital communications.**Brokers With a Significant History of Misconduct (V)**Join FINRA staff as they discuss the new rules concerning brokers with significant history of misconduct. Panelists review the implications of retaining or hiring brokers with such a history. |
| 2:45 p.m. - 3:00. p.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 3:00 p.m. - 4:00. p.m. | **Concurrent Sessions VIII:****Consolidated Audit Trail (CAT) (V)**During this session, panelists discuss how to prepare for compliance with the consolidated audit trail (CAT), including firm obligations, deadlines and resources.**Regulation Best Interest: Lessons Learned (V)**Join FINRA staff and industry panelists as they discuss lessons learned from implementing Reg BI. Panelists share what worked, conflicts that have been identified, and examination experiences and expectations.**Underwriting Trends (V)**During this session, FINRA staff and industry practitioners discuss underwriting trends and observations. Panelists discuss what you need to know about equality, debt and alternative offerings, syndicate practices and developments in the regulatory environment.**Diversity and Inclusion (V)**As the focus on diversity and inclusion in the financial services industry increases, it is important that employers attract, develop and retain the best talent of all backgrounds. This session aims to increase the awareness of diversity and inclusion and explains how to promote and maintain a diverse and inclusive culture within our firms and industry. |
| 4:00 p.m. - 4:15. p.m. | Networking & Demo BreakFINRA IDEA – Innovation, Demonstration & Engagement AreaNetworking with Exhibitors |
| 4:15 p.m. - 5:15. p.m. | **Concurrent Sessions IX:****Market Structure: What Factors Are Driving Changes (V)**During this session, FINRA staff and industry practitioners discuss current developments and future trends in the industry, including best execution guidance and payment for order flow issues.**FINRA’s Membership Application Program (MAP) (V)**Attend this session to hear about FINRA’s Membership Application Program (MAP). Learn how FINRA evaluates proposed business activities of potential and existing member firms, including the applicant’s financial, operational, supervisory and compliance systems. This session provides an overview of the application process.**Cybersecurity: Emerging Industry Priorities and Threats (V)**Cyber threats are no longer a question of if, but when, a breach will occur. It is important to have a cybersecurity plan in place, so you are ready to act if your organization experiences a data breach. Join panelists as they share areas of focus for the year ahead.**Branch Office Inspections (V)**Join FINRA staff and industry panelists as they share how they implemented their remote branch inspection plan using Zoom, electronic documentation review and other technological tools. During the session, panelists discuss red flags, and how they prioritize their inspections. |
| 5:15 p.m. - 7:15. p.m. | Reception |

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| **Wednesday, May 18** |
| 7:30 a.m. - 12:00 p.m. | Registration & Information |
| 7:30 a.m. - 9:00 a.m. | General Continental Breakfast |
| 9:00 a.m. - 9:30 a.m. | **Plenary Session V: A Keynote Address With the Honorable Russ Behnam, Chairman, U.S. Commodity Futures Trading Commission (CFTC) on Cryptocurrency (V)**Join FINRA President and CEO Robert Cook and CFTC Chairman Behnam for a conversation about his agenda and the state of cryptocurrency regulation.**Speaker:** Robert Cook, FINRA**Speaker:** Rustin Behnam, U.S. Commodity Futures Trading Commission (CFTC) |
| 9:30 a.m. - 9:45 a.m. | Networking Break |
| 9:45 a.m. - 10:45 a.m. | **Plenary Session VI: Compliance and Legal Trends (V)**Join industry leaders as they discuss trends, key focus areas and strategies that are shaping the industry. Panelists share insights on how these changes will affect compliance, and how firms are evolving and responding to business, regulatory and technology issues. |
| 10:45 a.m. - 11:00 a.m. | Networking Break |
| 11:00 a.m. - 12:00 p.m. | **Plenary Session VII: Ask FINRA Senior Staff (V)**During this session, FINRA senior staff provide updates on key regulatory issues. Panelists address questions relating to FINRA’s risk-based examination program, disciplinary actions, market regulation programs, and new and anticipated rules, among other topics. **Note:** Firm-specific questions can be discussed one-on-one with FINRA staff during conference Office Hours.**Moderator:**Kayte Toczylowski, FINRA Member Relations and Education |
| 12:00 p.m. | Conference Adjourns |