

October 3, 2019

St. Louis, MO

2019 FINRA

Midwest Region Member Forum

Welcome

The FINRA Midwest Region Member Forum is a one-day event designed to provide financial professionals associated with FINRA member firms in the Midwest Region the opportunity to engage in key discussions with FINRA staff, and connect with industry leaders and peers. The forum also includes thoughtful discussions around the future landscape of the financial services industry, and provides opportunities to meet one-on-one with FINRA district staff to discuss firm-specific questions.

Agenda

8:00 a.m. – 3:00 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:05 a.m.	Welcome and Opening Remarks
9:05 a.m. – 9:35 a.m.	Regulation Best Interest Fireside Chat <ul style="list-style-type: none">▶ With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Director of Member Relations and Education John Veator
9:35 a.m. – 9:50 a.m.	Networking Break
9:50 a.m. – 10:50 a.m.	Transformation of FINRA's Examination and Risk Monitoring Program
10:50 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 11:50 a.m.	Identifying and Assessing High-Risk Activity
11:50 a.m. – 1:00 p.m.	Networking Lunch
1:00 p.m. – 1:50 p.m.	Branch Office Inspections: Implementing a Risk-Based Program and Identifying Red Flags
1:50 p.m. – 2:00 p.m.	Networking Break
2:00 p.m. – 3:00 p.m.	Ask FINRA Senior Staff
3:00 p.m.	Forum Adjourns

Download the Conference App

Download the FINRA Midwest Region Member Forum app for access to all event materials—including session presentations, handouts and session descriptions. See the App Tip Sheet for more information.

- ▶ Go to the App store on your mobile device (Google Play Store/iTunes App Store).
- ▶ Search for “FINRA’s Events” and then download the app.
- ▶ When the download is complete, open the app.
- ▶ Enter your user ID (the email address you used to register for the conference) and password (finra1939).
- ▶ Click on the “Events” icon and then select the “Midwest Region Member Forum.”

Continuing Education (CE) Credits

Attendance to this forum qualifies for Certified Regulatory and Compliance Professional (CRCP)[®], Certified Financial Planner (CFP) CE credits—plus a Continuing Legal Education (CLE) voucher.

Stop by the App/CE table in Salon I and II foyer to receive your CLE voucher.

Wi-Fi Code Access

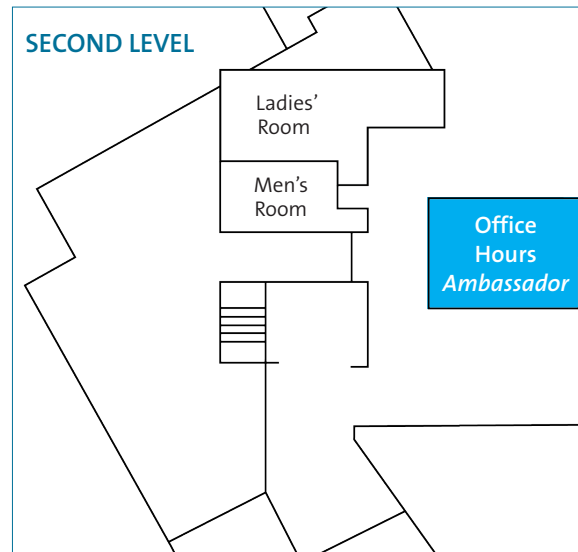
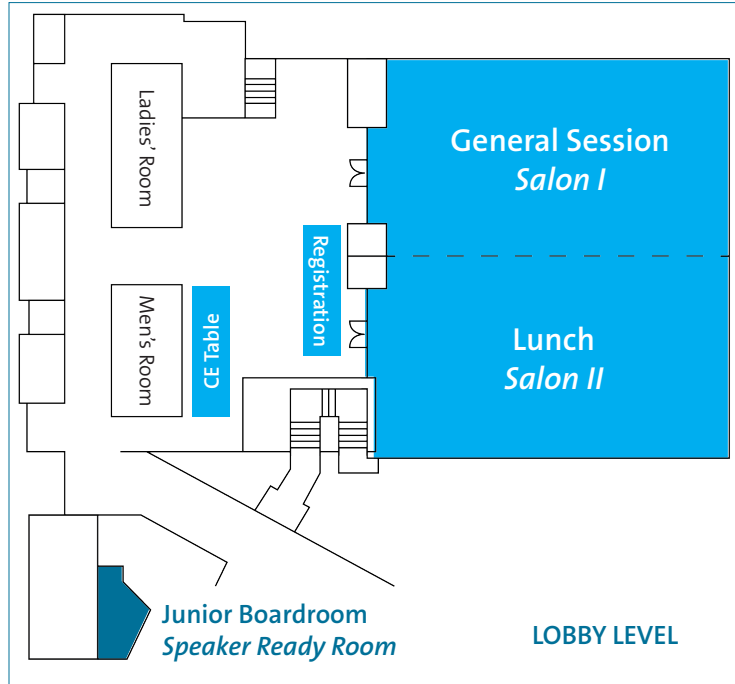
Network:
RitzCarlton_CONFERENCE

Password:
finra1939

FINRA[®]

Event Map | The Ritz-Carlton, St. Louis

Take a few moments to review the floor plan to help you become familiar with the layout.



Office Hours

Office Hours provide an opportunity for forum attendees to meet one-on-one with FINRA staff.

FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions and issues. Attendees can make an appointment via the forum app or on-site at the App/CE Desk.

Time	Coordinator	Place
10:00 a.m. – 11:00 a.m.	Michael Homer <i>Surveillance Director, Sales Practice—FINRA Chicago District Office</i>	Table 1
11:00 a.m. – 12:00 a.m.	David (Dave) Kelley <i>Surveillance Director, Sales Practice—FINRA Kansas City District Office</i>	Table 1
	Matthew (Matt) Reyburn <i>Surveillance Director, Sales Practice—FINRA Chicago District Office</i>	Table 2
1:00 p.m.– 2:00 p.m.	Shawn O’Neill <i>Associate District Director, Sales Practice—FINRA Chicago District Office</i>	Table 1

Speaker List

Speaker	Company
Jeff Aelmore	FINRA Denver District Office
Stephen Berkeley	Loop Capital Markets, LLC
Scott DeArmey	FINRA Kansas City District Office
Colleen Diles	FINRA Los Angeles District Office
Brett Flansburg	Ameriprise Financial, Inc.
Jeffry (Jeff) Freiburger	Robert W. Baird & Co.
Anna Garabedi	FINRA Los Angeles District Office
Michael Homer	FINRA Chicago District Office
David (Dave) Kelley	FINRA Kansas City District Office
Jennifer Luginbill	FINRA Kansas City District Office
Kevin Miller	Securities America, Inc.
Thomas (Tom) Nelli	FINRA South Region
Shawn O’Neill	FINRA Chicago District Office
Matthew (Matt) Reyburn	FINRA Chicago District Office
Laura Trotz	FINRA Chicago District Office
Bryan Varvel	FINRA Kansas City District Office
John Veator	FINRA Member Relations and Education
Ed Wegener	FINRA Midwest Region
James (Jim) Wrona	FINRA Office of General Counsel

Business Model | Ribbon Key

Use the key below to network with other attendees with similar business models.

	Retail
	Retail—Independent Contractor
	Institutional
	Insurance Affiliate
	Private Placement / Mergers and Acquisitions
	Fixed Income
	Clearing