



## 2019 District Compliance Seminar

With the State of Pennsylvania • October 16 | Harrisburg, PA

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### Ask FINRA, Pennsylvania and NASAA Senior Staff

Wednesday, October 16, 2019

4:10 p.m. – 5:00 p.m.

Panelists discuss the regulatory environment and a range of topics affecting broker-dealers.

**Moderator:** AnnMarie McGarrigle  
Surveillance Director, Sales Practice  
FINRA Philadelphia District Office

**Speakers:** Bill Bell  
District Director, Sales Practice  
FINRA Philadelphia District Office

Zachary Knepper  
Deputy General Counsel  
North American Securities Administrators Association (NASAA)

Eric Pistilli  
Director of Securities Licensing  
Pennsylvania Department of Banking and Securities

Joseph Sheirer  
Vice President and North Regional Director, Sales Practice  
FINRA North Region

Kayte Toczykowski  
Associate District Director, Sales Practice  
FINRA Philadelphia District Office

## Ask FINRA, Pennsylvania and NASAA Senior Staff Panelist Bios:

Moderator:

**AnnMarie McGarrigle** is Surveillance Director for FINRA's Philadelphia District Office. In her role, she actively manages the office's regulatory surveillance program and leads a team of six regulatory coordinators who oversees and monitors approximately 230 member firms for compliance with applicable securities rules and regulations. As the Surveillance Director, Ms. McGarrigle is also responsible for the district's efforts to identify and address current and emerging industry risks through the analysis and assessment of a firms' finances, operations, controls and systems. Ms. McGarrigle has a Bachelor of Science degree in Accountancy from Villanova University and is designated as a Certified Regulatory and Compliance Professional™ (CRCP™) through the FINRA Institute.

Speakers:

**Bill Bell** is District Director for the FINRA Philadelphia office. In this role, he is responsible for the execution of the office's Examination and Surveillance departments as well as the overall management of the office. Prior to his promotion to Director in 2018, Mr. Bell was the Associate Director and an Exam Manager in the Philadelphia District office. Mr. Bell has also served as an examiner in the Philadelphia and Chicago offices. Mr. Bell graduated from Marist College with a BS in Business Administration and earned an MBA from Villanova University.

**Zachary Knepper** joined the North American Securities Administrators Association (NASAA) as Deputy General Counsel in May 2016. Mr. Knepper advises NASAA and its members on federal and state regulatory issues, prepares NASAA *amicus curiae* briefs and regulatory comment letters, and speaks at training events and conferences. Prior to joining NASAA, Mr. Knepper worked for 12 years as an attorney at two law firms in Washington, DC, where his practice focused on defending securities enforcement matters and advising registered investment advisers and broker-dealers. Mr. Knepper earned his J.D. *cum laude* from the University of Illinois College of Law, and after law school earned an LL.M. in securities and financial regulation with distinction from the Georgetown University Law Center. Mr. Knepper received his undergraduate degree from the United States Military Academy at West Point and, prior to law school, served for five years as a field artillery officer in the U.S. Army.

**Eric Pistilli** currently serves as Director of the Securities Licensing Office overseeing more than 200,000 financial professionals and firms. In his 12 years with the Department and the Pennsylvania Securities Commission, he has worked on all aspects of securities compliance, including registration, investigations, and exams. He has also served on the NASAA Investment Adviser Training Program. He is a CPA who worked in public accounting before joining state government service.

**Joseph J. Sheirer** is Vice President, Director of FINRA's North Region and the District Director of the Woodbridge, NJ office. In his current role, Mr. Sheirer oversees the efforts of the Boston, Philadelphia and Woodbridge offices in executing the Risk Monitoring, Firm Examination, and Cause Investigation programs. Mr. Sheirer previously developed and oversaw FINRA's national Membership Application Program group and worked in varying capacities in a number of other FINRA departments including Risk Oversight & Operational Regulation, Continuing Education, Testing, and Qualifications & Registration. Mr. Sheirer is a graduate of Brooklyn Law School and Drew University and is a member of the Bars of the States of New York and New Jersey.

**Kayte Toczylowski** is Associate District Director of the Philadelphia District Office of FINRA (Financial Industry Regulatory Authority). She entered the securities industry in 2003 in the compliance department of Janney, a regional broker-dealer headquartered in Philadelphia. The majority of her eight-year career at Janney was spent as a compliance examiner for the firm's branch network. In 2011, she joined FINRA as a Sales Practice Examiner, was promoted to Manager in 2015, and assumed her current position in June 2018. As Associate District Director, she is responsible for the implementation of the District Office's Firm Examination program. Ms. Toczylowski received a BA in English from Villanova.



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# Panelists

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