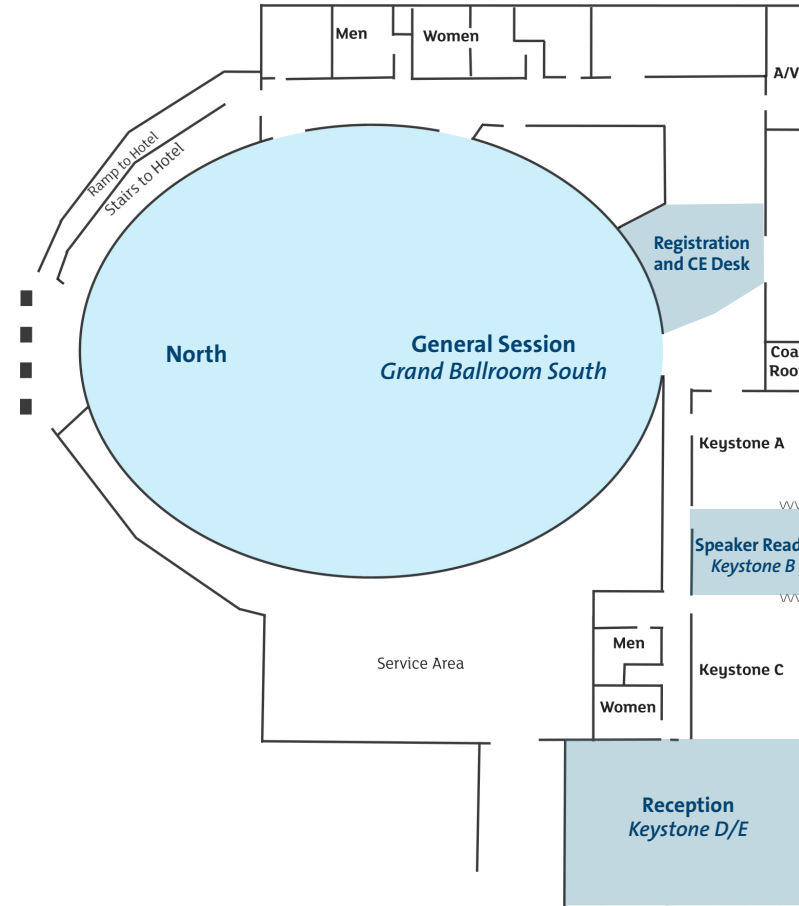


SPEAKER LIST

NAME	COMPANY
Bill Bell	FINRA Philadelphia District Office
Sarah Gill	FINRA Office of Government Affairs
Sarah Green	Vanguard Group, Inc.
Zachary (Zack) Knepper	North American Securities Administrators (NASAA)
Stephen Marchese	FINRA Philadelphia District Office
AnnMarie McGarrigle	FINRA Philadelphia District Office
Joseph (Joe) McNulty	FINRA Philadelphia District Office
Gregory (Greg) McShea	Janney Montgomery Scott
Amber Nicklow	Pennsylvania Department of Banking and Securities
Yvette Panetta	FINRA Boca Raton District Office
Eric Pistilli	Pennsylvania Department of Banking and Securities
Eli Renshaw	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Joseph (Joe) Sheirer	FINRA North Region
Glenn Skreppen	Pennsylvania Department of Banking and Securities
Victor Sosa	FINRA Philadelphia District Office
Kayte Toczylowski	FINRA Philadelphia District Office
Secretary Robin Wiessmann	Pennsylvania Department of Banking and Securities

SEMINAR MAP

Radisson Floor Plan



2019 FINRA

District Compliance Seminar

With the State of Pennsylvania

October 16, 2019 | Harrisburg, PA

- ▶ Agenda
- ▶ Wi-Fi Code Access
Network: Ballroom
Password: R@di\$\$0n
- ▶ Business Model Ribbon Key
- ▶ Continuing Education (CE)
Credit Information
- ▶ Seminar Map
- ▶ and more

FINRA®

WELCOME



FINRA's District Compliance Seminar with the State of Pennsylvania offers a comprehensive agenda designed for new and experienced compliance and legal professionals. Industry and regulatory speakers facilitate an interactive discussion on regulatory rules and effective practices. This half-day event also includes opportunities to network with industry peers and FINRA District Office staff.

AGENDA

Wednesday, October 16, 2019

12:00 p.m. – 5:00 p.m.	Registration
1:00 p.m. – 1:05 p.m.	Welcome and Opening Remarks
1:05 p.m. – 2:00 p.m.	Common Examination Findings and Effective Practices
2:00 p.m. – 2:10 p.m.	Networking Break
2:10 p.m. – 3:00 p.m.	Protecting Senior Investors
3:00 p.m. – 3:10 p.m.	Networking Break
3:10 p.m. – 4:00 p.m.	Hot Topics in AML
4:00 p.m. – 4:10 p.m.	Networking Break
4:10 p.m. – 5:00 p.m.	Ask FINRA, Pennsylvania and NASAA Senior Staff
5:00 p.m. – 6:00 p.m.	Networking Reception
6:00 p.m.	Seminar Adjourns

Networking Reception

Following the event, join us for a networking reception located in Keystone Ballroom D/E.

Continuing Education (CE) Credits

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

Stop by the CE desk in the Ballroom South foyer.

ADDITIONAL INFORMATION

Ask a Question

Do you have a session question? Email session questions to sessionquestions@finra.org.

Session Materials








Visit www.finra.org/dcsmaterials to view all session materials for the event.

Participate in Session Polling

Type the polling address, located in the presentation, into your browser and select your polling answer. **Note:** Each session will have a different polling address.

Business Model Ribbon Key

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

	Retail
	Retail—Independent Contractor
	Institutional
	Insurance Affiliate
	Private Placement / M&A
	Fixed Income
	Clearing