

## ANNUAL EDUCATIONAL CONFERENCE 2018

The Ritz-Carlton Amelia Island  
March 5-7

### **AGENDA OF EVENTS**

*(Attire: Business Casual)*

#### **Monday, March 5**

8:00 AM – 5:00 PM **Closed Door:** FINRA, NASAA, LRC Committee meetings  
*(By Invite Only; refer to hotel signs for meeting room locations)*

4:30 PM – 6:00 PM **REGISTRATION Opens To All**  
**ARM Attendee Networking Reception**  
**Talbot Wing**

6:00 PM – .... **Dinner on own to catch up with peers\***

**\*Trolley service will be provided for attendees to visit downtown Amelia & will run from 6:00PM to 10:00PM. Last shuttle departs Amelia restaurant/shopping area at approximately 9:30PM for return to hotel. Plan accordingly!**

**Tuesday, March 6**  
*(Attire: business casual)*

*All meetings take place in the Talbot Wing*

**7:00- 8:00 AM**

***Breakfast Buffet***  
***Registration***  
***Vendor Fair opens for day***

**8:00 – 8:15 AM**

**Welcome - Michele Van Tassel, ARM President/Credit Suisse**

**8:15 – 9:00 AM**

**Keynote Speaker - Len Ferman, Ferman Innovation**

**9:15 – 10:15 AM**

**NASAA Panel on State Issues**

**Senior State Representatives will address topics such as state enforcement trends in the BD/AG area; expungements; senior investor issues; state legislative and regulatory initiatives focusing on registration and licensing**

- **(Moderator) Michele Van Tassel – Credit Suisse/ARM-President**
- **Pam Epting – Deputy Commissioner, Florida Office of Financial Regulation**
- **Melanie Senter Lubin – Maryland Securities Commissioner**
- **A. Valerie Mirko – General Counsel, NASAA**

**10:15 – 10:45 AM**

***Business/Networking Break***

**10:45 – 11:45 AM**

**FINRA – Session One –**

**Tuesday, March 6**  
(Cont'd)

12:00 – 1:00 PM

**FINRA – Session Two –**

1:00 – 2:00 PM

***Networking Lunch***  
***Co-sponsored with Knopman Marks Financial Training***

2:15 – 3:30 PM

**FINRA – Session Three**

3:30 – 4:00 PM

***Business/Networking Break***  
***Co-sponsored with Exchange Analytics***

**Tuesday, March 6**  
(Cont'd)

4:00 – 5:00 PM      Panel TBD

5:30 PM              *Vendor Fair closes for day*

6:00 – 7:30 PM      *Business/Networking Reception – Talbot Wing*  
*Sponsored by Securities Training Corporation*

7:30 – 11:00 PM     ***Dinner/Dance\****  
*Hosted and Sponsored by ARM*

***NOTE: \*All attendees and guests MUST be registered and wear name tags for admission\****

## Wednesday, March 7

*(Attire: business casual)*

8:00 - Noon Vendor Fair Resumes

8:00 – 9:30 AM Breakfast Buffet

9:00 – 10:30 AM *Round Tables with Regulators and Subject Matter Experts*

Here you will be given an opportunity for direct Q&A to any issues covered during conference for which you may need further clarification.

- Regulatory Reporting & Background Screening
- CE
- FINPRO
- FINRA Form Filings
- NFA
- MUNI updates
- Securities Based SWAPS dealers
- ARM Membership
- NASAA

10:30 – 10:45 AM *Check out/Break*

10:45 – 11:45 AM Industry Best Practices Panel – Industry (only) Forum

- Moderated by ARM Executive Committee

Back by popular demand, this session is designed to give industry (only) participants an opportunity to engage in highly interactive discussions regarding best practices and broker/dealer hot topics. What challenges are you facing today? Do you have a question for other industry professionals? Do you want to ask others how they handle particular issues in their firms? This session is a great way to network and hear how other firms handle their day-to-day registration challenges. You can expect to participate in discussions on a wide array of topics. ARM Executive Board will also share initiatives it has been a part of this past year.

11:45 - Noon ARM Annual Membership Meeting

Noon *Vendor Fair and Conference Closes*

***Travel safe!  
See you next year!***

***The Ritz-Carlton Amelia Island  
March 4-6, 2019***