

## ANNUAL EDUCATIONAL CONFERENCE 2020

The Ritz-Carlton Sarasota  
June 8-10

### **PRELIMINARY AGENDA OF EVENTS**

*(Attire: Business Casual)*

**Monday, June 8**

8:00 AM – 5:00 PM      \*FINRA, NASAA, and LRC Committee meetings  
as well as FINRA Outreach meetings with industry.  
*\*All Monday meetings are closed door and by invite only*

*Please refer to hotel directory for meeting room locations and times*

4:30 PM – 6:00 PM      **CONFERENCE REGISTRATION OPENS**  
Attendee Networking Reception sponsored by ARM  
Venue: Green Marbled Foyer Prefunction Area

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

**Tuesday, June 9**  
*(Attire: business casual)*

**All meetings take place in the The Ritz-Carlton Ballroom**

**7:00- 8:00 AM**      ***Breakfast Buffet***  
***Registration Desk Open***

**7:00 AM – 5:30 PM**      ***Vendor Fair***

**8:00 – 8:15 AM**      **Welcome Remarks**  
**Richard Izzo, ARM President/Director – BNY Mellon**

**8:15 – 9:15 AM**      **Keynote Speaker**  
**Hattie Bollerman, Hatwell Group**

**9:30 – 10:30 AM**      **NASAA Panel on State Issues**

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

**10:30 – 10:45 AM**      ***Business/Networking Break***

**Tuesday, June 9**  
(Cont'd)

- 10:45 – 11:45 AM      **FINRA – Session One**
- 11:55 – 1:00 PM      **FINRA – Session Two**
- 1:00 – 2:00 PM      ***Networking Luncheon***  
*Co-sponsored with Knopman Marks Financial Training*
- 2:15 – 3:15 PM      **FINRA – Session Three**
- 3:15 – 3:45 PM      ***Business/Networking Break***
- 4:00 – 5:00          **Panel TBA**
- 5:30 PM              ***Vendor Fair closes for day***
- 6:00 – 7:30 PM      ***Business/Networking Reception –***  
*Sponsored by Securities Training Corporation*
- 7:30 – 11:00 PM      ***Dinner/Dance\****  
*Hosted and Sponsored by ARM*

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

## Wednesday, June 10

*(Attire: business casual)*

8:00 - Noon            ***Vendor Fair Resumes***

7:30 – 9:00 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. *Topics to include, among others, Permissive Registrations, Regulatory Reporting, CE, latest FINRA, NASAA, MSRB and NFA initiatives and more!*

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 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 back here next June!***