



Agenda

September 29, 2020

11:00 AM to 12:45 PM

Opening remarks; FINRA panel on Testing & CE; Q&A

Senior management from FINRA's Credentialing, Registration, Education and Disclosure Department (CRED) will provide updates to FINRA's qualification and continuing education programs, including activities related to potential enhancements of the Securities Industry Continuing Education Program described in Regulatory Notice 20-05. In addition, FINRA will discuss the challenges associated with accommodating qualification exam testing with continuing COVID-19 restrictions and the introduction of online testing for the SIE and other qualification examinations.

Panelists:

- Joe McDonald, FINRA - Senior Director in Testing and Continuing Education, CRED
- Patricia Monterosso, FINRA - Director of Continuing Education Services, CRED

1:30 PM to 3:00 PM

FINRA Operations and Best Practices; Q&A

Senior management from FINRA's Credentialing, Registration, Education and Disclosure Department (CRED) will provide an update to its enhanced financial public records review, criminal background checks as well as other developments in disclosure review. In addition, FINRA will discuss several system initiatives in 2020, launching of Form CRS, Multi-Factor Authentication, onboarding new SROs to CRD, as well as provide an update of its operational processes involving protecting personal and sensitive information, and webinars and training as we transition new CRD in phases.

Panelists:

- Daniel Hardesty, FINRA – Director of Regulatory Services and Operations, CRED
- LaTricia Henderson, FINRA – Associate Director of Regulatory Support and Business Strategy, CRED
- Ronald Petersen, FINRA – Senior Director of Regulatory Review and Disclosure, CRED

3:30 PM to 5:00 PM

NASAA Panel on State Issues and Concerns

This panel will address several topics including IAR CE; NY's rule proposal regarding IARs; FINRA Regulatory Notice 20-05 and how it impacts states; recent NASAAA enforcement actions, and the COVID-19 response by states.

Panelists:

- Ken Haim, Registration Section Director, New York Investor Protection Bureau
- Andrew Hartnett, Assistant Commissioner for Securities and Regulated Industries, Iowa Insurance Division
- Natasha Hurt, Manager, Registration, Disclosure and Qualification, NASAA
- Travis Jordan, Assistant Director, South Dakota Division of Insurance – Securities Regulation
- Melanie Senter Lubin, Maryland Securities Commissioner & Chair of NASAA CRD/IARD Steering Committee

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11:00 AM to 12:30 PM

Opening remarks; FINRA panel on Systems; Q&A

FINRA's Credentialing, Registration, Education and Disclosure (CRED) department and Technology unit will provide an update on the significant system transformations occurring that impact your registration and continuing education programs. The panel will highlight important program updates and how the industry can leverage these new capabilities. Topics to be covered include maximizing the new FINRA Gateway, ensuring the industry is prepared for the enhanced U4 data collection experience, and opportunities FinPro enables. The panel will also provide insight into areas of longer-term strategic investment, and opportunities for industry engagement.

Panelists:

- Aaron Archer, FINRA – Principal Business Analyst, CRED
- Noah Egorin, FINRA – Senior Director/Product Manager for Business Development and Innovation, CRED
- Claudia Holanda, FINRA – Director of Product Management for Enterprise Data Platforms, Technology
- Thomas Weaverling, FINRA – Director in Business Development and Innovation, CRED

2:00 PM to 3:30 PM

Securities Based SWAP Dealer Issues; Q&A; Closing Remarks

This presentation will address SBSB filing requirements and timelines; personnel requirements including background checks and recordkeeping and registration form requirements for entities

Panelists:

- Colin D. Lloyd, Cleary Gottlieb Steen & Hamilton LLP
- Carol McGee, SEC – Head of the Office of Derivatives Policy, Trading and Markets