



Why Go It Alone?

ANNUAL EDUCATIONAL CONFERENCE 2021

The Ritz-Carlton Sarasota
October 11-13

AGENDA

Monday, October 11

4:30 PM – 6:00 PM **CONFERENCE REGISTRATION OPENS**
Attendee Networking Reception sponsored by ARM

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

**The hotel does provide scheduled shuttle service to St. Armand's Circle and there are many options within walking distance of hotel.

COVID-19 NOTICE:

Association of Registration Management, Inc. carefully monitors CDC guidelines for COVID-19 on a regular basis. We will continue to update procedures and protocols prior to the conference.

*** Masks, though not required, keep everyone safer. Please wear a mask at your discretion.**

*** There is no required distancing between parties, however every effort will be made to allow seating at a comfortable distance during all in-person sessions**

*** Hand sanitizer stations will be placed at various locations.**

Tuesday, October 12

WIFI connectivity sponsored by Training Consultants to all attendees!

7:00- 8:00 AM ***Breakfast Buffet – Sponsored by Exchange Analytics***

8:00 – 8:15 AM **GO LIVE!!! Welcome Remarks – Richard Izzo, ARM President**

8:15 – 9:15 AM **Vendor Panel – The New IA CE & Impact on Industry**

Vendors will discuss and elaborate on the new upcoming plans for Investment Advisor Continuing Education, the impact for dual registrants related to the current FINRA Continuing Education, the NASAA rule and how individual states are adopting to these changes.

Speakers: Brian Marks of Knopman Marks Financial Training; Todd Rosenfeld of Securities Training; Brandi Brown of RegEd

9:30 – 10:30 AM **NASAA Panel - State Regulatory Updates**

State regulators and NASAA staff will provide updates in continuing education, New York's rule to register investment adviser representatives, COVID-19 relief and what the future holds, expungement, and state regulatory initiatives.

Moderator: Andrew Hartnett (IA)

Speakers: Melanie Lubin (MD), Andrew Hartnett (IA), Bal Kazla (CA), Natasha Hurt (NASAA)

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

10:45 – 11:45 AM **FINRA – Session One –Disclosure, Operations, Training and Communications**

FINRA's Credentialing, Registration, Education and Disclosure (CRED) department will provide an update on what's going on in the world of disclosure, criminal background checks, new customer service tools, changes to our fingerprint program, training, and communications. CRED experts will talk about what they're seeing, what to think about, training opportunities and how to stay connected with future changes.

Speakers: Jeff Weinstein (Senior Director, CRED Regulatory Services & Ops, Moderator), Derek Linden (Ex. VP, FINRA, CRED), Bill Swanstrom (VP-CRED), Aaron Archer (Principal Business Analyst, CRED Support Services), Dan Hardesty (Director, CRED Regulatory Services & Ops), Iman Newman (Associate Principal Analyst, Regulatory Review & Disclosure)

Noon – 1:00 PM FINRA – Session Two – Continuing Education and Qualifications Updates

FINRA's Credentialing, Registration, Education and Disclosure Department (CRED) will provide updates to FINRA's qualification and continuing education programs and outreach, including activities related to potential enhancements of the Securities Industry Continuing Education Program described in FINRA Rule Filing 2021-015. 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.

Speakers: Joe McDonald (Senior Director, CRED Qualifications & Exams, Moderator), Bill Swanstrom (VP-CRED), Kelly Swanstrom (Associate Director, CRED CE Marketplace), Tom Weaverling (Director, Business Analysis & Reporting, CRED Business Development & Innovation)

1:00 – 2:00 PM *Networking Luncheon – Sponsored by Knopman Marks Financial*

2:15 – 3:45 PM FINRA – Session Three - FINRA Gateway and Registration Related Systems

FINRA's Credentialing, Registration, Education and Disclosure (CRED) department and Technology unit will highlight important program topics that include maximizing the new FINRA Gateway, opportunities with FinPro, and adopting eSignature and CE Notifications. The panel will also provide insight into areas of longer-term strategic investment, such as additional technology enablement and ways the industry can provide feedback and increase engagement.

Speakers: Bill Swanstrom (VP-CRED, Moderator), Claudia Holanda (Director, Technology-Enterprise Data Platforms), Noah Egorin (Senior Director, Business Development & Innovation-CRED Business Development & Innovation), Jerry Gerard (Senior Director, Technology), Tom Weaverling (Director, Business Analysis & Reporting, CRED Business Development & Innovation)

5:30 – 9:00 PM *Business/Networking Reception & Dinner – Beach Club*
Shuttle from hotel will begin at 5:30PM; last one leaves at 8:30 PM

Hosted and Sponsored by ARM – guests must be registered to attend!

Wednesday, October 13

7:30 – 9:00 AM ***Breakfast Buffet***

9:00 – 10:00 AM **SBSD Processes, Cross-Border Issues, Fingerprinting and more**

General overview on the SBSB registration process. Common pitfalls, lessons learned, FAQs around issues firms are/did grapple with when working on or filing their SBSE-A & SBSE-C forms.

Speaker: Brian Morris, Cleary Gottlieb Steen & Hamilton LLP.

Discussion on varying practices regarding fingerprinting (SEC Rule 17F-2) and definitions of AP's; cross border issues.

Speaker: Paul Tyrrell, Sidley Austin L.L.P.

10:00 – 10:15 AM ***Break***

10:15 – 11:15 AM **FINRA “Virtual Round Table” and Virtual Conference Wrap Up**

To accommodate our usual opportunity to meet with FINRA pre or post conference, this year we will gather (in person and virtually) to address topics that would typically be covered in our “round table” session via Q&A.

Speakers: Bill Swanstrom-Moderator (FINRA), Mario DiTrapani, Dan Hardesty, Iman Newman, Kelly Swanstrom, Joe McDonald, Tom Weaverling, Claudia Holanda and Noah Egorin

10:15 AM Virtual Table Topic One: CE Transformation, Renewals & Disclosure

10:45 AM Virtual Table Topic Two: Gateway/FINPRO & RST

11:20 – NOON **In-Person Industry Only Session and ARM Annual Review**

Noon ***Conference Closes – See you in June 2022 for ARM 2022***

Thank you to our Exhibitors AND Sponsors for their support!

Training Consultants – Sponsor of conference WiFi & Exhibitor
Knopman Marks Financial Training – Sponsor of Tuesday Luncheon
Exchange Analytics – Sponsor of Tuesday Breakfast & Exhibitor
BIG - Exhibitor
RegEd - Exhibitor
Securities Training Corporation - Exhibitor