

ANNUAL EDUCATIONAL CONFERENCE 2021

The Ritz-Carlton Sarasota
October 11-13

PRELIMINARY AGENDA OF EVENTS

(Attire: Business Casual)

Monday, October 11

**All Monday meetings are closed door/by invite only
Some panelists may be participating via Zoom/WebX*

Please refer to hotel directory for meeting room locations and times

- 8:00 AM – 5:00 PM *FINRA, NASAA, and LRC Committee meetings
as well as FINRA Outreach meetings with industry.
- 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.**

Tuesday, October 12
(Attire: business casual)

- 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**
- 8:15 – 9:15 AM** **Panel/Speaker TBA**
- 9:30 – 10:30 AM** **NASAA Panel on State Issues**
- 10:30 – 10:45 AM** ***Business/Networking Break***
- 10:45 – 11:45 AM** **FINRA – Session One – Systems**
- 11:55 – 1:00 PM** **FINRA – Session Two - CE**
- 1:00 – 2:00 PM** ***Networking Luncheon***
Co-sponsored with Knopman Marks Financial Training
- 2:15 – 3:15 PM** **FINRA – Session Three - Operations**
- 3:15 – 3:45 PM** ***Business/Networking Break***
Co-sponsored with Exchange Analytics
- 4:00 – 5:00** **TBD Panel**
- 5:30 PM** ***Vendor Fair closes for day***
Trolleys to Beach Club will run every 30 minutes between
5:30 and 7:30 and 9:30 to 11:00

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

7:30 – 10:30 PM **Casual Networking Dinner at the Beach Club**
(casual dress)
Hosted and Sponsored by ARM

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

Wednesday, October 13
(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 **Break to check out and grab a cup of coffee!**

11:00 – 1:00 PM **Closed door Steering Committee meeting TBD**

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.

11:45 - Noon **ARM Annual Membership Meeting**

Noon **Vendor Fair and Conference Closes**