

**ANNUAL EDUCATIONAL CONFERENCE 2024**  
**The Ritz-Carlton Sarasota**  
June 3-5

**AGENDA**

*(Attire: Business Casual)*

**Monday, June 3**

*Conference WiFi Sponsored by Exchange Analytics*

**8:00 AM – 9:00 AM** CONFERENCE REGISTRATION TABLE OPENS

**9:00 AM – 12:30 PM** \*FINRA Workshops & Outreach Sessions  
*St. Armands Ballroom*

*\*Attendance at these FINRA Session(s) are for conference registrants only  
Click [here](#) to reserve your seat – NO walk-ins permitted.  
See final page for session descriptions.*

**9:00 AM – 11:00 AM** Exhibitor Set-Up

**Noon – 1:00 PM** CONFERENCE REGISTRATION & EXHIBITOR SHOWCASE OPEN  
*Green Marble Foyer*

**1:00 PM – 2:15 PM** Opening Luncheon/President's Welcome

**2:30 PM – 3:15 PM** Opening Session/Keynote Address  
Liza Streiff, CEO, Knopman Marks Financial Training  
*Power Under Pressure: Unlocking High Performance When It Matters Most*

**3:15 PM – 3:30 PM** Refreshment Break

**3:30 PM – 5:00 PM** **FINRA Session One – Residential Supervisory Locations/Remote Inspections and FINRA Initiatives**

**Speakers: Kosha Dalal, Ray Yan, Miko Somborac, Tom Weaverling**

**Hear from FINRA team members about Residential Supervisory Locations (RSL)/Remote Inspections and FINRA’s ongoing initiatives, including changes coming to FINRA Gateway and FinPro, the retirement of the legacy WebEFT service and best practices for transitioning to the new FINRA API platform, and the launch of the Financial Learning Experience at FINRA.**

**5:00 PM – 6:00 PM** **ARM Networking Reception & Anniversary Photo Booth!**  
***Please stop at our booth to help us commemorate our 50<sup>Th</sup>!***  
***Green Marble Foyer***

***Dinner on own to catch up with peers***

## Tuesday, June 4

7:30 AM - 9:00 AM **Breakfast Buffet/Registration Desk Open**  
*Sponsored with Exchange Analytics*

8:00 AM – 4:30 PM **Exhibitor Showcase Open**

9:00 AM – 10:15 AM **NASAA-State Regulatory Updates**

Speakers: Natasha Hurt, Melanie Lubin, Marni Gibson and  
Lauren Munschauer

State regulators and NASAA staff will provide updates about NASAA's priorities, state regulatory initiatives, expungement, IAR CE and NASAA's Exam Validity Extension Program, as well as state enforcement and examination trends and branch inspections.

10:15 AM – 10:30 AM **Networking Break**

10:30 AM – NOON **FINRA Session Two – FINRA Engagement and Best Practices for Registration, Licensing, CE and Qualifications Compliance**

Speakers: Genay Glasgo, James Parks, Jeff Weinstein and  
Karin Marshall

Learn how FINRA captures feedback from members of the industry to guide enhancements to its programs, policies, and systems. Also hear from FINRA subject matter experts and industry peers about best practices for registration, licensing, continuing education and qualifications compliance.

NOON – 1:00 PM **Networking Luncheon**  
*Sponsored with Knopman Marks Financial Training*

1:15 PM – 2:30 PM **INDUSTRY ONLY Session I – Still Confused? Let's Discuss!**  
Let's use this time to prepare questions for the Regulator Panel!

2:30 PM – 3:00 PM **Refreshment Break**

3:00 PM – 4:30 PM **Regulator Panel – Ask Me Anything!**

Speakers: Kosha Dalal, Mario DiTrapani, Melanie Lubin, Marni Gibson, Bri Joiner, Chris Brettman, Jay Nichols

You asked, so we are answering! ARM is bringing together representatives from FINRA, NASAA, MSRB and NFA to take questions from us after today's presentations. Good opportunity to ask the experts for clarification on what is still causing us concern and confusion!

- 3:00 PM**                    ***Exhibitor Showcase Closes for Day***
- 5:30 PM – 7:00 PM**   ***Networking Cocktail Reception – Beach Club***  
***Reception Sponsored by Securities Training Corporation***
- 7:00 PM– 9:00 PM**   ***Dinner – Beach Club***  
***Evening's Entertainment Sponsored by Pass Perfect***
- 5:00 PM – 9:30 PM**   ***Special Trolleys will shuttle to/from Beach Club every 30 minutes+/-***  
***Pick-up outside Green Marble Foyer***  
***Trolleys sponsored by Capital Advantage Tutoring***

## Wednesday, June 5

8:00 AM – 11:00 AM	<i>Exhibitor Showcase Resumes</i>
7:30 AM – 9:00 AM	<i>Breakfast Buffet</i>
9:00 AM – 10:30 AM	<u>Round Tables with Regulators and Subject Matter Experts</u> Opportunity to meet one-on-one with SME's & peers to address unresolved questions.
10:30 AM – 10:45 AM	<i>Check out/Break</i>
10:45 AM – 11:45 AM	<u>Industry Only Session 2 – You're Not Alone!</u> What's concerning you still? Confused about? Need guidance? Need a shoulder? Let's help each other.
11:45 - Noon	<u>ARM Annual Membership Meeting</u>
Noon	<u>Conference Closes</u>

**Save the Date!**

***ARM Celebrates 50 years!***  
***Conference 2025***  
***Ritz Carlton – New Orleans***  
***June 1-4, 2025***

**Outreach Program Sessions – Pre-Registration Required!**  
**Monday, June 3, 2024**

**Workshop 1 – FINRA APIs: For Business Users – 101**

Join the FINRA staff as they help you bridge the gap between technology and business by informing non-technical users with the knowledge and skills to harness the power of FINRA APIs. This workshop is designed to help you understand the basics of FINRA APIs, identify new opportunities to streamline processes and unlock new value that isn't possible with WebEFT, and prepare you for conversations with your technology teams.

TIME: 9:00 AM – 9:45 AM

LOCATION: TBD

FACILITATOR(S): TBD

*Break - 9:45 – 9:50 AM*

**Workshop 2 – RSL Reporting/ Firm Gateway Reporting**

Join FINRA staff as they walk you through how to report, review, and maintain Residential Supervisory Locations, discuss commonly asked questions, and help you to create the reports you'll need moving forward. FINRA staff will also be available to help you understand how to meet your broader reporting needs, leveraging Firm Gateway reporting.

TIME: 9:50 AM – 10:35 AM

LOCATION: TBD

FACILITATOR(S): TBD

*Break 10:35 - 10:45 AM*

**Outreach Session – Engage with FINRA Staff on a Variety of CRED Topics**

Take advantage of the opportunity to meet in-person with FINRA staff to provide feedback on systems, operations, policies, and offerings. FINRA will come prepared to answer questions and engage on topics important to you. Attendees will be provided the opportunity to submit questions in advance.

TIME: 10:45 AM – 12:00 PM

LOCATION: TBD

FACILITATOR(S): TBD