



*Celebrating 50
Years!*

ANNUAL EDUCATIONAL CONFERENCE 2025
The Ritz-Carlton New Orleans
June 1-4

ARM Celebrates 50 years!

AGENDA

Sunday, June 1

Conference Gala Opening

Black Tie Optional! Mardi Gras Masks Encouraged!

6:00 PM – Cocktail Reception
Courtyard (Lobby)

Reception Sponsored by Securities Training Corporation

Pre-dinner entertainment Sponsored by Capital Advantage Tutoring

7:30 PM – Conference Celebratory Dinner/Dance
Lafayette Ballroom

Dinner Entertainment Sponsor CeriFi/Pass Perfect

ALL SPEAKERS LISTED ON LAST PAGE OF AGENDA

Monday, June 2

Conference Wi-Fi Sponsored by Exchange Analytics

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

9:30 AM – 12:00 PM *FINRA Workshops

**Attendance at these FINRA Workshops are for conference registrants only
Click here to register: <https://cvent.me/3Md2QI> – NO walk-ins permitted.
See final page of agenda for session descriptions.*

9:00 AM – Noon Exhibitor Set-Up

Noon – 1:00 PM CONFERENCE REGISTRATION & EXHIBITOR SHOWCASE OPEN

12:30 PM – 2:30 PM Opening Luncheon/President's Welcome & Recognitions

NASAA President Leslie Van Buskirk will be Keynote Speaker
Recognitions to follow! Surprise guests!

**2:45 PM – 4:00 PM FINRA Session One - Registration, Continuing Education, and
Qualifications Compliance Best Practices**

This session will explore the latest in best practices across critical areas of compliance, reporting, continuing education, disclosure review, and much more. The panel will dive into practical tips for mitigating risk and streamlining compliance.

Dinner on own to catch up with peers – make your reservations!

Tuesday, June 3

7:30 AM – 8:30 AM **Breakfast Buffet/Registration Desk Open**
Sponsored with Exchange Analytics

8:00 AM – 4:00 PM **Exhibitor Showcase Opens** – Canal Hallway

8:30 AM – 9:00 AM **Welcome Remarks from Commissioner Scott Jolly, LA**

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

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

10:30 AM – NOON **FINRA Session Two – Innovations and Key Initiatives on the Horizon at FINRA**

This panel will delve into ongoing and future initiatives and projects FINRA is focused on. FINRA staff will offer a comprehensive look at those projects to help you understand what's on the near, medium, and long-term horizon.

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

1:15 PM – 2:30 PM **Best Practices from the Vendor's Perspective**

This session will address common FAQs faced by registration professionals, including exam sequencing, waivers, and challenges candidates encounter when upgrading licenses. Discussion topics include best practices for passing key exams, differences between Series 65 and 66, student-reported difficult concepts, and the impact of AI on exam preparation. The session will also explore how learning habits have evolved in a social media-driven, post-COVID world and what that means for exam success. We will also provide an update on IAR CE; discussing best practices, feedback from participants in the program, FAQ's and the ability to apply IAR CE for professional designations.

2:30 PM – 3:00 PM **Networking Refreshment Break**
Sponsored with Capital Advantage Tutoring

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

Back by popular demand! ARM is bringing together representatives from FINRA, NASAA and NFA to take questions from us after today's presentations. This is a great opportunity to ask the experts for clarification on what is still causing us concern and confusion!

4:00 PM ***Exhibitor Showcase Closes for Day***

4:30 PM – 5:30 PM **Networking Cocktail Reception (Grand Ballroom Foyer)**

6PM **depart** **Ghost Walking Tour or Historic Walking Tour**
Gathering Location at hotel TBA.
Pre-paid ticket holders only may attend!

Wednesday, June 4

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 – You're Not Alone!</u> What's concerning you still? Confused about? Need guidance? Need a shoulder? Need ARM to follow-up? We can help each other!
11:45 - Noon	<u>ARM Annual Membership Meeting</u>
Noon	<u>Conference Closes</u>

Save the Date!

Conference 2026 – March 1-4 – Sarasota
Conference 2027 – March 7-10 - Sarasota

Monday, June 2

FINRA Workshops Agenda

Pre-Registration Required!

Click here to register: <https://cvent.me/3Md2Ql>

Lafayette Meeting Rooms

***Outreach Session* – 9:30AM to 10:45 AM**

Exploring Opportunities, Priorities, Impacts and Planning: A Deep Dive into Opportunities and what's next – (Open to FINRA member firms only)

Join us for a discussion focused on what's next. Member firm participants will engage in discussions, provide feedback on industry value and prioritization, and explore potential opportunities. This session aims to foster collaboration among FINRA and industry, to align on possible future initiatives.

Break – 10:45 AM – 11:00 AM

***Workshop Session* – 11:00AM to Noon**

Dynamic Reporting Workshop - (Open to all)

Join FINRA staff as they walk through some commonly asked questions, demonstrate basic and advanced capabilities, answer your specific report questions, and provide hands-on support as you create or extend your existing reports.

2025 Panel Speakers

FINRA Session One - Registration, Continuing Education, and Qualifications Compliance Best Practices

- Elisabeth Craig - SVP & Deputy of FINRA's CRED Dept.
- Jeff Weinstein - Senior Director, CRED & ARM FINRA Liaison
- Karin Marshall - Senior Director, RR&D FINRA CRED
- Nicole Lefort - Assoc. Director of CE CRED

NASAA-State Regulatory Updates

- Melanie Senter Lubin - MD Securities Commissioner
- Natasha R. Hurt - Director of Regulatory Systems, NASAA
- Pam Kirkland - SC Director of Registration/Securities Division
- Ann Harris - FL Bureau Chief/Registrations

FINRA Session Two – Innovations and Key Initiatives on the Horizon at FINRA

- Bill Swanstrom - VP Business Development, CRED
- Gabby Cugini - Director, CRED Strategic Initiatives
- James Parks - Director, CRED Strategy & Innovation
- Tom Weaverling - Director, CRED Strategy & Innovation
- Miko Somborac - Director, Product Mgmt.
- Nicole Lefort - Assoc. Director of CE CRED

Best Practices from the Vendor's Perspective

- Todd Rosenfeld - Securities Training Corp
- John Hennessy - Securities Training Corp
- Brian Marks - Knopman Marks
- Margie Webber - RegEd
- Ken Finnen - Capital Advantage/Series 7 Training

Regulator Panel – Ask Me Anything!

- Chris Brettman - NFA
- Elisabeth Craig - FINRA
- Pam Kirkland - SC Director of Registration/Securities Division
- Melanie Senter Lubin - MD Securities Commissioner
- Jay Nichols - NFA
- Bill Swanstrom - FINRA