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2015 FINRA Annual Conference

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2. Collect stamps from each exhibitor you visit.

3. Submit the last page with at least 30 stamps at the conference registration desk.

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ACA Compliance Group

www.acacompliancegroup.com

ACA Compliance Group is a leading provider of regulatory compliance products and solutions, cybersecurity and risk assessments, performance services, and technology solutions to regional, national and global firms in the financial services industry. With offices worldwide, ACA clients include leading broker-dealers, investment advisers, private fund managers, commodity trading advisers and investment companies.



Actiance, Inc.

www.actiance.com

Actiance provides a platform that helps firms meet their regulatory requirements by controlling, capturing, archiving and making e-discoverable all forms of electronic communications (email, unified communications, instant messages, collaboration tools and social media). With more than 1,600 clients, three out of four people working in financial services in North America work for a firm with an Actiance solution.



BasisCode Compliance

www.basiscode.com

BasisCode Compliance is an enterprise, compliance and audit platform that offers broker-dealers an integrated suite of multiple rule-based compliance functions. Centralized and intuitive, our solutions span functionality, from testing and risk assessment to personal trading and certifications—all within a unified solution—enhancing compliance controls and decision-making to safeguard your firm and clients. Our software increases process visibility and policy management control while decreasing the time spent managing tasks manually.



Bloomberg Vault

www.bloomberg.com/vault

Enterprises are struggling to manage a rapidly growing amount of unstructured data that complicates compliance, surveillance and data management. Bloomberg Vault provides an end-to-end, cloud-based, secure hosted information-governance and information-analytics platform that helps you manage this unstructured data while helping to consolidate your compliance, legal and data-management processes.

BLOOMBERG VAULT

Business Information Group (BIG)

www.bigreport.com

Business Information Group, Inc. (BIG), a vendor in FINRA's Compliance Resource Provider program, offers background check and screening services to firms, including national searches of reasonably available public records. Our Disclosure Monitoring Services also allow firms to periodically screen employees and registered representatives to identify changes to credit history or criminal records. We also offer discounted rates to FINRA-registered firms on Livescan fingerprinting through our nationwide network of collection sites.



CellTrust

www.celltrust.com

CellTrust is a global leader in collaborative secure mobile communication with tracing and archiving capabilities and mobile aggregation across 200+ countries and over 800 carriers and mobile operators. CellTrust SecureLine archives and protects mobile communication content supporting enterprise mobile collaboration, eDiscovery and major global regulatory compliance for financial services, government and healthcare.



CFM Partners, Inc.

www.cfmpartners.com

CFM Partners, Inc. is a governance, risk and compliance company based in Washington, DC. As a knowledge-based company, we understand the securities industry, its regulatory environment and the importance of putting the right information into the right hands at the right time. From robust policy management to comprehensive education programs, we combine our industry and compliance expertise with innovative technology to deliver smart solutions for effective compliance program management.

CFM Partners

Charles Schwab

www.scrs.schwab.com

Compliance Solutions' employee-monitoring offer includes Schwab Designated Brokerage Services, Schwab Compliance Technologies™ and a wide range of financial products and services for employees. These solutions can help you proactively manage compliance, promote a positive employee experience, build long-term value across your business and instill trust with clients.

The Charles Schwab logo is located in the bottom right corner of the page. It consists of a dark blue square containing the word "charles" in a white, lowercase, serif font, and the word "SCHWAB" in a white, uppercase, sans-serif font directly below it.

charles
SCHWAB

Compliance Science

www.complysci.com

Compliance Science provides governance, risk management and compliance solutions to the professional services community. Led by pioneers in the governance, risk management and compliance space, Compliance Science uses Web-based corporate compliance technology that leverages a robust data network and innovative forensic analytics to monitor employee risk, automate code of ethics compliance and safeguard material, non-public information. Clients include RIAs, broker-dealers, private equity firms, hedge funds, law firms, banks, pension plans, public companies and other professional services firms—all who rely upon Compliance Science to help protect them from the specter of reputational damage and revenue loss from non-compliant activities.



Digital Reasoning

www.digitalreasoning.com

Digital Reasoning's machine learning-based analytics platform, Synthesys, helps financial institutions monitor their electronic communications and accelerates detection of suspicious activity, while reducing the cost of subsequent investigations. From alerts that identify trading abuse, money laundering and fraud, to dashboards that keep an eye on conduct risk and market manipulation, Digital Reasoning proactively connects the dots within big data to quickly and accurately detect communications that impact reputational and regulatory risk, while significantly reducing overall operational and compliance costs.



**Digital
Reasoning®**

Docupace Technologies | Silver-Level Exhibitor

www.docupace.com

Docupace Technologies is a premier provider of ultra-secure electronic financial services processing solutions. Designed to streamline business processes and facilitate increased compliance, Docupace's ePACS® Straight-thru-Processing platform is utilized by firms of all sizes—from boutique broker-dealers to Fortune 500 companies. Driven by heightened levels of competition, privacy issues, cybersecurity and government regulation, industry-leading firms and advisers are adopting the company's solutions in order to improve profitability and mitigate risk.



DST

www.dstmarketservices.com

DST provides solutions to help firms comply with FINRA requirements such as consolidated reporting, suitability and KYC. DST also provides full-service clearing services for independent broker-dealers looking to grow their firm's business, and has tailored sub-accounting solutions that eliminate barriers for smaller firms. DST is a leading third-party provider of mutual recordkeeping services, with leading solutions in customer communications, business process management, enterprise workflow automation and home office oversight and risk controls. Clearing services provided by DST Market Services LLC.



Egnyte

www.egnyte.com

Egnyte provides Adaptive Enterprise File Services that uniquely anticipate information technology and end-users' needs to securely, easily and intelligently share files on premises and in the cloud. Egnyte's award-winning platform integrates with any cloud, storage, device and business application to enable customers to optimize their collaboration environments through secure access, centralized control and unified visibility.



ELM Solutions

www.wkelmsolutions.com

ELM Solutions, a Wolters Kluwer business, is a market leader in transformational, technology-based solutions for legal, compliance and risk management. Passport® GRC, a modular solution built on the Passport® technology platform, provides a comprehensive framework to support integrated governance, risk management and compliance programs. The Passport GRC Module provides the tools and automation to help broker-dealer firms meet FINRA's requirements in their efforts to comply with FINRA Rule 4530.



Wolters Kluwer

ELM Solutions

Erado

www.erado.com

Erado delivers all the elements of an integrated compliance and marketing platform to customers worldwide with its Elements™ Compliance Platform. To discover how to leverage your compliance efforts for deeper customer engagement and generate ROI from your social media efforts, visit our website.

erado

Fidelity Designated Brokerage Services

www.fidelity.com/go/designated-brokerage-services

With more than 18 years of experience as a designated broker, we can help you oversee your employees' investment and trading activities while simultaneously working with you to drive more efficiency in your compliance function. Additionally, your employees will benefit from having access to the breadth and depth of investment products, holistic planning and guidance, thought leadership, exceptional service, and unparalleled value Fidelity offers to each and every customer.



FIRE Solutions

www.firesolutions.com

FIRE Solutions is a leading provider of comprehensive training and compliance management solutions for the financial services community. Our services include registered rep. management and tracking systems; Firm Element, insurance, CFP and AML continuing education; securities exam preparation; on-demand annual compliance meetings; online forms and attestations; and gift and entertainment tracking.



Global Relay | Gold-Level Exhibitor

www.globalrelay.net

Global Relay is a leading provider of cloud-based electronic message archiving, supervision and eDiscovery solutions for the financial sector. Global Relay is the message archiving vendor in FINRA's Compliance Resource Provider Program. Global Relay's 20,000 customers in 90 countries include 22 of the top 25 global banks. Global Relay Archive securely captures and preserves email, instant messaging, mobile messaging, Bloomberg, Thomson Reuters, social media and more—with mobile, Outlook and Web access.



GWAVA

www.gwava.com

GWAVA provides the Retain Unified Archiving solution to archive all email, social media, IM, Web searches, and mobile communication data for case assessment, search and eDiscovery. Retain Unified Archiving helps ensure FINRA compliance by providing granular retention policies, empowering compliance officers to enforce content standards through searches of the archive and allowing for secure exporting to PDF, PST and stand-alone viewer formats. This solution can be deployed on-premises or in the cloud.



Hearsay Social

www.hearsaysocial.com

Hearsay Social provides the Predictive Social Suite for financial advisors and insurance agents across the world's largest financial institutions, including 7 of the top 10 financial services companies and leading firms. Hearsay Social powers over 100,000 financial relationship managers worldwide, allowing them to engage social, mobile customer through Social Media and mobile-first websites. Advisors receive unique client insights through multi-channel signals, and the predictive Content Library making it easy to share the right content at the right time. Built-in enterprise integration and governance powers compliance and supervision for global firms, seamlessly addressing industry regulations and enforcing policy.



INTL FCStone Securities Inc.

www.intlfcstone.com

INTL FCStone Securities Inc. is the wholly owned subsidiary of INTL FCStone Inc., which provides trading, market making, investment banking and corporate finance services to clients around the globe. The investment banking division provides capital raising, mergers and acquisitions advisory, trade finance and bank loan syndication, as well as restructuring and corporate advisory services to middle market firms in the natural resources, agriculture, financial institutions, power generation and real estate sectors.

INTL · FCStone®

Kaplan Financial Education

www.kfeducation.com

Kaplan Financial Education is a leading global provider of financial education and exam preparation products. We've helped hundreds of thousands of professionals prepare for Insurance Licensing and Securities exams, and helped them maintain licensure through our full line of Continuing Education Courses. Exceptional Solutions, Extraordinary Results.

KAPLAN FINANCIAL
EDUCATION

Lansare Corporation

www.lansare.com

Lansare Corporation provides hosted solutions for broker-dealers, RIAs and financial services firms. We offer monitoring and surveillance tools for compliance, in good order application and forms processing, document management, customer and adviser portals, and business intelligence solutions. Our software-as-a-service model delivers proven reliability, scalability, security and performance. Lansare is a pioneer in on-demand financial software, providing hosted solutions since 1998. Lansare currently manages detailed data on over 2 million customer accounts totaling over \$100 billion in account value.



Law360

www.law360.com

Law360 is a one-stop news source for legal news and analysis, covering major developments in litigation, legislation and transactions. With daily newsletters and real-time alerts of breaking news, Law360 delivers the intelligence you need to be an expert in your field and remain one step ahead of your competition. Visit our website to find out what thousands of readers at major law firms, Fortune 500 companies and key government agencies already know.



LexisNexis

www.lexisnexis.com/lexis-securities-mosaic

LexisNexis® Legal & Professional is a leading global provider of content and technology solutions that help enable professionals in legal, corporate, tax, government, academic, and non-profit organizations to make informed decisions and achieve better business outcomes. As a digital pioneer, the company was one of the first to bring legal and business information online with its Lexis® and Nexis® services. Today, LexisNexis Legal & Professional harnesses leading-edge technology and world-class content, to help professionals work in faster, easier and more effective ways.



Lumesis, Inc.

www.lumesis.com

Lumesis, Inc. is a financial technology company focused on providing business efficiency, data and regulatory solutions to the municipal bond marketplace. Lumesis was founded in 2010 and is completely dedicated to serving the municipal market with industry-leading analysis and compliance solutions that meet the needs of an evolving regulatory environment. Today, the company's DIVER platform helps hundreds of firms with over 40,000 users efficiently meet credit, regulatory and risk needs.



McDonald Information Service (MIS)

www.callmis.com

MIS offers you a one-stop solution for risk management, new account verification, 314a requirements and Office of Foreign Assets Control (OFAC) compliance. A leader in the industry, MIS clients represent retail, institutional, full-service and discount broker-dealers. An experienced team of professionals is on hand to assist you with your anti-money laundering, OFAC, customer identification program, politically exposed persons, enhanced due diligence, employee surveillance and background-checking needs. MIS provides you with the best protection and best value available. Please contact us for more details and pricing.



Mercer

www.brokerdealercoverage.com

Mercer Consumer is a leader in providing risk management and customized insurance solutions. We are consistently recognized as the leading provider of insurance solutions to the securities and financial services industries and have been a FINRA insurance program administrator for more than three decades. With our best-in-class practices, you'll get an unmatched depth and breadth of services. Combined with exceptional customer service, market expertise, claims advocacy and competitive rates, you'll receive a wealth of services unparalleled in the financial services market.



MERCER

MobileGuard

www.mobileguard.com

MobileGuard, a leading provider of compliance solutions for your mobile workforce, has pioneered the way organizations address the complexities of mobile communication compliance regulations. With its patented mobile message archiving and monitoring solutions, MobileGuard helps enable companies to reduce business risk by complying with government regulations and corporate policies.



National Society of Compliance Professionals (NSCP)

www.nscp.org

The National Society of Compliance Professionals is a nonprofit, membership organization dedicated to serving and supporting compliance officials in the financial services industry. NSCP is for compliance, by compliance—it is our mission to provide professional resources to U.S. and Canadian financial services professionals through our unequalled network of peers, professional education, regulatory interaction and professional standards.



NRS

www.nrs-inc.com

Owned by Reed Elsevier, National Regulatory Service (NRS) is part of Accuity, the global standard for payment efficiency and compliance solutions. NRS is a U.S. leader in compliance and registration products and services for investment advisers, broker-dealers, hedge funds, investment companies and insurance institutions. NRS has the practical expertise, proven capability and unparalleled reach to deliver integrated and effective compliance solutions to a wide range of users within the financial services industry. NRS delivers these solutions through three interrelated offerings—comprehensive education, best-in-class technology and expert consulting services—assisting clients in meeting their regulatory requirements and minimizing risk.



Nuix

www.nuix.com

Nuix enables people to make fact-based decisions from unstructured data. The patented Nuix Engine makes small work of large and complex human-generated data sets. Organizations around the world turn to Nuix software when they need fast, accurate answers for digital investigation, cybersecurity, eDiscovery, information governance, email migration, privacy and more.



Patrina Corporation

www.patrina.com

For more than 20 years, Patrina Corporation has worked closely with the financial services industry to develop some of the most powerful compliance solutions available. Patrina's Integrated Compliance Suite is designed to help broker-dealers manage their compliance tasks with greater efficiency than ever before. Reduce your reliance on multiple systems by making Patrina Compliance the core of your compliance office. Industry-tailored modules with built-in workflows covering messaging, OBAs, WSPs, advertising review, branch audits and more.



Pearson VUE

www.PearsonVUE.com/FINRA

Pearson VUE delivers all FINRA qualification exams and Regulatory Element continuing education sessions at more than 300 test centers around the world. Stop by our booth to learn about our world-class test centers, easy-to-use appointment finder and online scheduling. Schedule your next exam at our website for a superior testing experience at a Pearson Professional Center.

PEARSON

Pinpoint Global Communications

www.pinpointglobal.com

Pinpoint Global is a recognized leader of SEC 17a-4 compliance solutions. Pinpoint's compliance portfolio includes modules such as Outside Business Activities, ADV Part 2B, Disciplinary Tracking, Sales Material Submission & Review, Advisor Account Review, Gifts & Entertainment, Annual Questionnaire, Branch Office Exams, Annual Compliance Meetings, and Firm Element Training. All compliance modules are easy to use and Pinpoint systems provide powerful reporting and analytics capabilities for manager and compliance personnel.



Prometric

www.prometric.com

Prometric, a wholly owned subsidiary of ETS, is a trusted provider of technology-enabled testing and assessment. Its market-leading test development and delivery solutions allow clients to develop and launch global testing programs as well as accurately measure program results and data. Prometric reliably delivers and administers approximately 9 million tests a year in 8,000 test centers in more than 160 countries.



Proofpoint Nexgate

www.nexgate.com

Nexgate, a division of Proofpoint, Inc., a recognized industry leader, provides cloud-based protection and compliance for enterprise social media accounts. Its patent-pending technology seamlessly integrates with the leading social media platforms and applications to find and audit brand affiliated accounts, control connected applications, detect and remediate compliance risks, archive communications, and detect fraud and account hacking. Nexgate is based in Sunnyvale, California, and is used by some of the world's largest financial services, pharmaceutical, Internet security, manufacturing, media and retail organizations to discover, audit and protect their social infrastructure.



Quest CE

www.questce.com

We should probably talk if you need Firm Element training, are interested in on-demand Annual Compliance Meetings, want to take your internal branch audits online, are overwhelmed with your current licensing and registration procedures, need help tracking your reps' activity disclosures, are looking for a Needs Analysis Survey, aren't sure what a Needs Analysis Survey is, and/or enjoy small talk about compliance, technology or our personal favorite, the weather.



Recommind, Inc.

www.recommind.com

Recommind is a leader in information intelligence, delivering breakthrough software applications that harness the power of information to solve concrete business problems. Recommind is headquartered in San Francisco and has offices in New York, Boston, London, Sydney, and Bonn, Germany.

RECOMMIND®

Red Oak Compliance Solutions

www.admastercompliance.com

Red Oak, a leader in Advertising Review solutions for the financial services industry, is showcasing their AdMaster Compliance™ subscription software. Stop by Red Oak's booth to learn how their new "Review Optimization" technology can assist your firm with the actual review of material. By leveraging Red Oak's years of experience reviewing advertising for their consulting clients, "Review Optimization" improves the review function with an automated check for potential issues.



RED OAK
Compliance Solutions

RegEd

www.reged.com

RegEd is a leading provider of compliance technology solutions serving 1,000 clients, including the nation's largest financial services firms. Established in 1994 by former regulators, the company is a recognized industry authority and has created the standard of excellence for rule-based and content-driven compliance automation for broker-dealers, investment advisers, insurance companies and their distributors. RegEd solutions drive new levels of operational efficiency and help enable firms to cost-effectively comply with regulations and mitigate risk.

RegEd

Regulatory Compliance

www.regulatorycompliance.com

Regulatory Compliance is a leading provider of comprehensive regulatory compliance services for broker-dealers, investment advisers, hedge funds and other financial services firms. For more than 25 years, Regulatory Compliance has customized its services to the needs of each of our clients, and delivered them through our highly trained and experienced staff. Whether your firm needs Registration Support, Exams and Testing, Policies and Procedures, FinOp Services, Consulting or Outsourced Compliance, Regulatory Compliance can cost-effectively meet your needs.



Regulatory Compliance

Renaissance Regulatory Services

www.RRSCompliance.com

Renaissance Regulatory Services provides comprehensive regulatory compliance consulting and support services to broker-dealers, investment advisers and other market participants. We specialize in start-up, compliance examinations and written supervisory procedures. Our services are customized to fit your firm's operations. RRS provides the experience and insight to meet all your compliance needs. Our staff and partners consist of former regulators and compliance professionals who have extensive experience with SEC, FINRA, MSRB and state regulations.



SiteQuest Technologies

www.sitequesttech.com/eagle-eye/

SiteQuest Technologies has more than 15 years of experience in creating and enhancing compliance applications for the largest players in the financial services industry. Our "compliance first" mentality is the driving force behind our innovative solutions like Eagle Eye, a Web supervision tool designed to replace manual Web searching processes many firms use to supervise the Web presence of their employees, associates and representatives.



Smarsh | Gold-Level Exhibitor

www.smarsh.com

Smarsh delivers cloud-based archiving solutions for the information-driven enterprise. Its centralized platform provides a unified compliance and e-discovery workflow across the entire range of digital communications, including email, public and enterprise social media, websites, instant messaging and mobile messaging. Founded in 2001, Smarsh helps more than 20,000 organizations meet regulatory compliance, e-discovery and record-retention requirements. The company is headquartered in Portland, Oregon, with offices in New York City, Atlanta, Boston, Los Angeles and London.



Socialware

www.socialware.com

Socialware provides industry-leading software and services for regulated industries to help securely and compliantly market through social media, and to generate business through relationships with customers and prospects on Facebook, LinkedIn and Twitter. Socialware is a trusted technology partner to more than 170 of the leading firms in the U.S.



Solomon Exam Prep

www.SolomonExamPrep.com

Solomon Exam Prep has helped thousands of financial professionals pass their Series 6, 7, 62, 63, 65, 66, 24, 26, 27, 28, 51, 52, 53, 55, 62, 79, 82 and 99 licensing exams. Solomon's study solutions include Digital and Print Exam Study Guides, Online Exam Simulators, Audiobooks and Video Lectures to help ensure that your students pass the first time! Based on learning styles and memory research, Solomon's study solutions are designed for easy consumption and maximum retention. Raise your firm's pass rates and lower your costs with Solomon!

SOLOMON
EXAM PREP



SunGard - Protegent

www.sungard.com/protegent

SunGard's Protegent is a suite of solutions that help automate financial institutions' compliance processes. It helps give financial institutions transparency into their data while aiding them to enforce and document their compliance policies and procedures. Protegent's solutions cover social media review, personal trading oversight, market abuse, Reg NMS, Order Audit Trail System (OATS), and transaction supervision and surveillance review.

SUNGARD[®]

TD Ameritrade, Inc

www.tdameritrade.com/workplace

Focusing on your firm's unique employee trading and monitoring needs through a consultative, best practices approach, TD Ameritrade's Designated Brokerage Services' comprehensive solution combines leading-edge technology with highly experienced service teams in order to help manage risk while helping to ensure the ultimate employee experience. To learn more about the TD Ameritrade difference and how we can help you manage your firm's specific compliance reporting requirements, visit us online anytime!



Ameritrade

TerraNua

www.TerraNua.com

TerraNua is a leading provider of risk and compliance technology solutions with products MyComplianceOffice and MySurveillanceOffice. MyComplianceOffice enables automation of compliance activities, including personal trade and conflict of interest. TerraNua's MySurveillanceOffice automates the surveillance of a firm's fund and portfolio trades and holdings and the suitability of client investment activity.



Thomson Reuters Risk Management Solutions

www.accelus.thomsonreuters.com

For organizations that need to feel confident in their customer and third-party engagements, only Thomson Reuters delivers comprehensive and actionable information, intuitive technology, and deep expertise and services—a unique combination that allows you to protect your organization's reputation and revenue. We provide risk and regulatory intelligence, as well as customer identification solutions that include capabilities for client on-boarding, screening software, enhanced due diligence and transaction monitoring.

THOMSON REUTERS
ACCELUS

Two Roads Software

www.tworoadssoftware.com

Two Roads Software is a data science pioneer focused on understanding the meaning of unstructured data within a company's communications. Our product OBSERV is an intelligent e-surveillance and e-discovery solution that transforms the way compliance departments monitor communications within their firms. OBSERV provides visibility into areas of risk in real time with unmatched accuracy.



Vertafore

www.vertafore.com

Vertafore's Sircon makes compliance simple by automating interactions between you, your registered representatives, your carrier partners and the regulators. Our solutions help you manage your entire rep lifecycle, from onboarding to termination—quickly, accurately and efficiently. Keep business moving forward: rely on Sircon to reduce paperwork, speed time to revenue and make it easier to sell.



Wiley

www.wiley.com

Wiley is a global provider of knowledge and knowledge-enabled services that improve outcomes in areas of research, professional practice and education.

WILEY

www.withum.com

WithumSmith+Brown, PC is one of the largest full-service Certified Public Accounting and Consulting firms in the nation, with 550-plus staff in 13 offices across the country and Grand Cayman. The firm's Financial Services Industry Group serves the full broker-dealer industry, including investment banking firms, market makers, introducing brokers, commodities traders and advisory services firms. Let Withum put your company in a position of strength.

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FINRA Information Booth



Systems Demo Booth



We would like to thank all of our exhibitors,
especially our Gold- and Silver-level exhibitors.

GOLD



SILVER



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