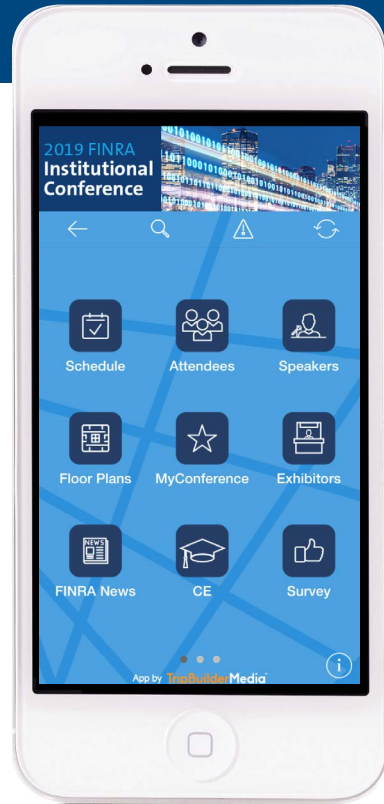


APP INFORMATION



Institutional Conference App

Registered attendees are granted access to the Institutional Conference app.

All materials—including session presentations, handouts and the conference schedule—are available through the app.

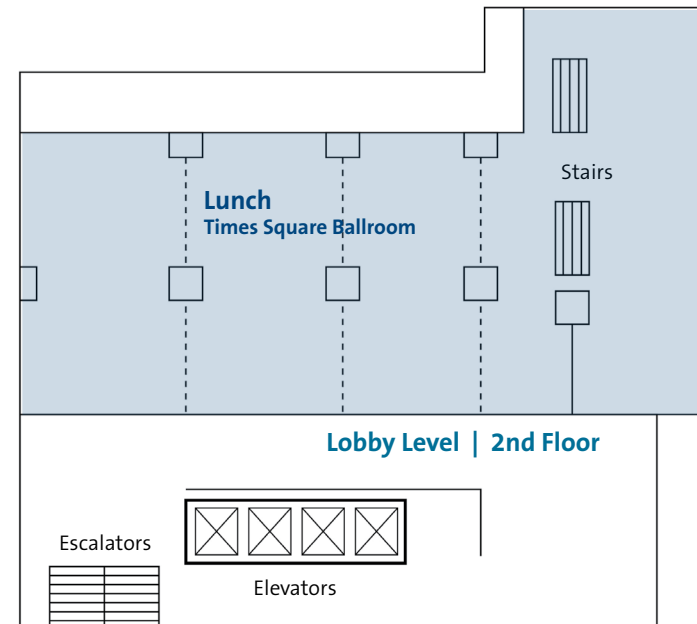
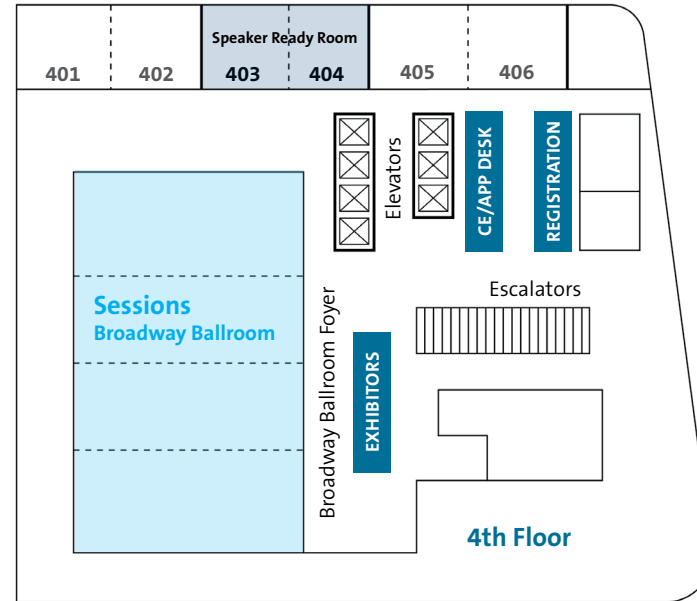
Download the Conference App

Download the Institutional Conference app for access to all conference materials—including session presentations, handouts and session descriptions. See the App Tip Sheet for more information.

1. Go to the App store on your mobile device (Google Play Store/iTunes App Store).
2. Search for “FINRA’s Events” in the store and download the app.
3. When the download is complete, open the app.
4. Enter your **user ID** (the email address you used to register for the conference) and **password** (finra1939). If you have previously logged into the app and changed your password, the same password will apply.
5. Click on the “Events” icon and then select “Institutional Conference.”

CONFERENCE MAP

Crowne Plaza Times Square Manhattan



September 11, 2019

New York, NY

- ▶ Agenda
- ▶ Wi-Fi Code Access
Network: FINRA
Password: finra1939
- ▶ App Information
- ▶ Continuing Education (CE)
Credit Information
- ▶ Business Model Ribbon Key
- ▶ Conference Map
- ▶ Exhibitor List

FINRA®

WELCOME



At the Institutional Conference, you will hear from industry experts, executives and policymakers as they share their specialized knowledge and experiences on topics affecting institutional firms across the country.

Featured Speakers:



Robert W. Cook—President and Chief Executive Officer, FINRA



William (Bill) St. Louis—Senior Vice President and Northeast Regional Director, FINRA

AGENDA

Wednesday, September 11

7:30 a.m. – 4:00 p.m.	Registration
7:30 a.m. – 8:30 a.m.	Networking Breakfast
8:30 a.m. – 8:35 a.m.	Welcome and Opening Remarks William (Bill) St. Louis, Senior Vice President and Northeast Regional Director, FINRA
8:35 a.m. – 9:05 a.m.	Fireside Chat Featuring FINRA President and CEO Robert Cook and Senior Vice President and Northeast Regional Director, FINRA William (Bill) St. Louis
9:05 a.m. – 9:15 a.m.	Networking Break
9:15 a.m. – 10:15 a.m.	Supervision of Trading Desk Operations
10:15 a.m. – 10:30 a.m.	Networking Break
10:30 a.m. – 11:30 a.m.	Conflicts of Interest
11:30 a.m. – 12:30 p.m.	Networking Lunch and Dessert With Exhibitors
12:30 p.m. – 1:30 p.m.	AML Challenges and Effective Practices
1:30 p.m. – 1:45 p.m.	Networking Break
1:45 p.m. – 2:45 p.m.	Common Examination Findings for Institutional Firms
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Ask FINRA Senior Staff
4:00 p.m.	Conference Adjourns

- ▶ All sessions take place in the Broadway Ballroom.
- ▶ All exhibitors will be in the Broadway Ballroom Foyer.
- ▶ Networking Lunch will be in the Times Square Ballroom on the lobby level/2nd floor.
- ▶ Dessert with Exhibitors will be in the Broadway Ballroom Foyer.

ADDITIONAL INFORMATION








Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. **Exhibitors include:**

- ▶ Global Relay
- ▶ Red Oak Compliance
- ▶ Renaissance Regulatory Services, Inc.
- ▶ Vigilant

Business Model Ribbon Key

Use the key to network with other attendees with similar business models.

	Retail
	Retail—Independent Contractor
	Institutional
	Insurance Affiliate
	Private Placement / M&A
	Fixed Income
	Clearing

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) CE credits—plus a Continuing Legal Education (CLE) CE voucher.

Stop by the CE/App desk in the Broadway Ballroom Foyer to receive your CLE CE voucher.