

Welcome and Opening Remarks**Thursday, December 12, 2019****9:00 a.m. – 9:05 a.m.**

Speaker: Scott Gilbert
Vice President and District Director, Member Supervision
FINRA New York District Office

Speaker Biography:

Scott M. Gilbert is FINRA Vice President and New York District Director, responsible for the District's examination and risk monitoring programs. From 2013 to 2019, he was a FINRA Senior Director with responsibility for the New York District's large firm examination and cause examination programs. From 2004 through 2013, Mr. Gilbert was employed at UBS Financial Services Inc. in various roles including Executive Director and Head of Compliance for the Wealth Management Advisor Group of UBS, with responsibility for compliance matters and policies relating to the broker-dealer's financial advisors. From 2006 through 2010, he was Senior Associate General Counsel and head of the group responsible for internal investigations and disciplinary recommendations at UBS. In that role, he advised the firm's management in all aspects of issues related to employee compliance with firm policies and industry rules, regulations and laws. From 2000 to 2004, Mr. Gilbert was Vice President and Senior Counsel with Merrill Lynch & Co., where he was responsible for global regulatory matters and internal investigations. Before that, he was a trial counsel with the Division of Enforcement of the New York Stock Exchange, responsible for enforcing the rules of that self-regulatory organization, investigating customer complaints and prosecuting disciplinary actions. Mr. Gilbert was at the NYSE from 1995 to 2000. He also was a litigation attorney in private practice from 1990 to 1995, with a focus on complex commercial litigation and securities class actions. Mr. Gilbert is a graduate of Columbia University and New York University School of Law.

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

Welcome and Opening Remarks

Speaker

■ Speaker

- **Scott Gilbert, Vice President and District Director, Member Supervision, FINRA New York District Office**



2019 New York Region Member Forum

December 12, 2019 | New York, NY

Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Vice President of Member Relations and Education Chip Jones

Thursday, December 12, 2019

9:05 a.m. – 9:45 a.m.

Speakers:

Chip Jones
Senior Vice President
FINRA Member Relations and Education

James Wrona
Vice President and Associate General Counsel, Regulatory
FINRA Office of General Counsel

Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Vice President of Member Relations and Education Chip Jones
Panelist Bios:

Speakers:

Chip Jones is Senior Vice President of Member Relations and Education for FINRA. In leading the Member Relations and Education Department, Mr. Jones' responsibilities include maintaining and enhancing open and effective dialog with FINRA member firms. Mr. Jones also oversees FINRA's Member Education area, which includes FINRA conferences and other member firm educational offerings such as the FINRA Institute at Georgetown for the Certified Regulatory and Compliance Professional (CRCP)[®] designation. Prior to joining FINRA, Mr. Jones spent six years as Vice President of Regulatory and Industry Affairs at American Express Financial Advisors (AEFA). Previous to AEFA, he spent two years as Advocacy Administrator for the Association for Investment Management and Research (AIMR). Mr. Jones was employed by the Virginia Securities Division as a senior examiner/investigator prior to joining AIMR.

James S. Wrona is Vice President and Associate General Counsel for FINRA in Washington, DC. In this role, he is responsible for various policy initiatives, rule changes and litigation regarding the securities industry. Mr. Wrona formerly was associated with the law firm of K&L Gates LLP, where his practice focused on complex federal litigation. He also previously served as a federal law clerk for the Honorable A. Andrew Hauk of the United States District Court for the Central District of California (Los Angeles). Mr. Wrona is a frequent speaker at securities and litigation conferences and author of numerous law review articles, including *The Best of Both Worlds: A Fact-Based Analysis of the Legal Obligations of Investment Advisers and Broker-Dealers and a Framework for Enhanced Investor Protection*, 68 Bus. Law. 1 (Nov. 2012); *The Securities Industry and the Internet: A Suitable Match?*, 2001 Colum. Bus. L. Rev. 601 (2001).

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

**Regulation Best Interest Fireside Chat With
FINRA Vice President and Associate General
Counsel Jim Wrona and Senior Vice President of
Member Relations and Education Chip Jones**

Speakers

■ Speakers

- **Chip Jones, Senior Vice President, FINRA Member Relations and Education**
- **James Wrona, Vice President and Associate General Counsel, Regulatory, FINRA Office of General Counsel**

Transformation of FINRA's Examination and Risk Monitoring Program**Thursday, December 12, 2019****9:55 a.m. – 10:40 a.m.**

During this session, FINRA staff will discuss the new firm grouping structure, the status of changes and what firms can expect going forward.

Moderator: William St. Louis
Senior Vice President and Regional Director, Member Supervision
FINRA Northeast Region

Speakers: Ornella Bergeron
Senior Vice President, Member Supervision
FINRA Member Supervision

Demetrios Koutros
Senior Director, Managing Surveillance, Member Supervision
FINRA Member Supervision

Timothy Thompson
Senior Vice President, Trading and Financial Compliance Examination (TFCE)
FINRA Market Regulation

Transformation of FINRA's Examination and Risk Monitoring Program Panelist Bios:

Moderator:

William St. Louis is Regional Director for FINRA's Northeast region and has responsibility for the sales practice examination and surveillance programs in FINRA's New York, Boston, Philadelphia, and New Jersey offices. He also oversees FINRA's Membership Application Program (MAP). Prior to assuming the Regional Director role in March 2019, he was the District Director of FINRA's New York office. Before joining FINRA's examination program, Mr. St. Louis held senior roles in FINRA's Enforcement Department including serving as the Regional Chief Counsel for FINRA's North Region. Mr. St. Louis earned a B.A. from Baruch College and a law degree from New York University School of Law. Immediately after law school, Mr. St. Louis clerked for a New York state trial judge, and prior to law school he worked for several years in the Compliance Department of a NY-based broker-dealer.

Speakers:

Ornella Bergeron has been with FINRA since its inception in 2007. In her role as Senior Vice President in the Member Supervision department, she leads a group of 90 professionals who supervise and examine approximately 200 of FINRA's largest members for financial and operational soundness, risk assessment adequacy and business conduct compliance. Prior to joining FINRA, Ms. Bergeron spent 19 years at the New York Stock Exchange in similar roles. Ms. Bergeron holds a BBA in Finance from Iona College.

Demetrios Koutros has been with FINRA since its inception in 2007 and was previously with the New York Stock Exchange in similar roles. In his role as Deputy Unit Leader within Member Supervision, Mr. Koutros has responsibility for the ongoing risk monitoring and assessment of approximately 200 firms. Including member's compliance with financial, operational and sales practice rules. He is also involved with the development and rollout of FINRA's Risk Platform Redesign, which is utilizing a new methodology and technology to advance the risk monitoring of member firms. Prior to his tenure at FINRA, Mr. Koutros worked in managerial roles at Prudential Securities, Citigroup and National Financial Services in the area of Regulatory Reporting and Operations Control. Mr. Koutros holds a bachelor's degree from Pace University.

Timothy Thompson is Senior Vice President in FINRA's Trading and Financial Compliance Examinations ("TFCE") group within the Department of Market Regulation. The TFCE group performs examinations related to trading activity of broker-dealers engaged in trading on the U.S. equities and options trading markets. The TFCE group also performs financial and operational examinations of trading firms and fixed income examinations related to reporting obligations and other trading related responsibilities of broker-dealers. Much of the work done by TFCE is performed on behalf of the U.S. securities exchanges, which have an obligation to oversee such activity. Prior to joining FINRA in January 2015, Mr. Thompson served for over 10 years as the Chief Regulatory Officer of the Chicago Board Options Exchange where he oversaw a comprehensive regulatory program consisting of, among others, trading examinations, financial and operational examinations, market surveillance, and insider trading surveillance. The insider trading surveillance was performed on behalf of all U.S. options exchanges. Mr. Thompson also oversaw the Cboe's regulatory program for the Cboe Futures Exchange during his tenure. Prior to becoming the CRO for Cboe, Mr. Thompson served as the Chief Compliance Officer and General Counsel for Botta Capital Management, the Associate General Counsel for Cboe, and a Branch Chief for the Securities and Exchange Commission in the financial responsibility area of the SEC's Division of Market Regulation (which is now the Division of Trading and Markets). Mr. Thompson graduated *cum laude* from the University of Michigan Law School and *summa cum laude* from the University of Notre Dame.

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

Transformation of FINRA's Examination and Risk Monitoring Program

Panelists

■ Moderator

- **William St. Louis, Senior Vice President and Regional Director, Member Supervision, FINRA Northeast Region**

■ Panelists

- **Ornella Bergeron, Senior Vice President, Member Supervision, FINRA Member Supervision**
- **Demetrios Koutros, Senior Director, Managing Surveillance, Member Supervision, FINRA Member Supervision**
- **Timothy Thompson, Senior Vice President, Trading and Financial Compliance Examination (TFCE), FINRA Market Regulation**

Suspicious Activity Monitoring: What to Look for and How to Find It**Thursday, December 12, 2019****10:50 a.m. – 11:35 a.m.**

As the first line of defense, compliance advisors may identify money laundering and other financial crimes. It is the responsibility of all firm associates to understand these risks. Join FINRA staff and industry professionals as they discuss new and concentrated areas of focus, such as terrorist financing, bribery and corruption. Attendees will also learn about new fraud trends and risks related to digital currencies.

Moderator: Scott Gilbert
Vice President and District Director, Member Supervision
FINRA New York District Office

Speakers: Katherine Johnson
Examination Manager
FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Blake Snyder
Senior Director
FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Suspicious Activity Monitoring: What to Look for and How to Find It Panelist Bios:

Moderator:

Scott M. Gilbert is FINRA Vice President and New York District Director, responsible for the District's examination and risk monitoring programs. From 2013 to 2019, he was a FINRA Senior Director with responsibility for the New York District's large firm examination and cause examination programs. From 2004 through 2013, Mr. Gilbert was employed at UBS Financial Services Inc. in various roles including Executive Director and Head of Compliance for the Wealth Management Advisor Group of UBS, with responsibility for compliance matters and policies relating to the broker-dealer's financial advisors. From 2006 through 2010, he was Senior Associate General Counsel and head of the group responsible for internal investigations and disciplinary recommendations at UBS. In that role, he advised the firm's management in all aspects of issues related to employee compliance with firm policies and industry rules, regulations and laws. From 2000 to 2004, Mr. Gilbert was Vice President and Senior Counsel with Merrill Lynch & Co., where he was responsible for global regulatory matters and internal investigations. Before that, he was a trial counsel with the Division of Enforcement of the New York Stock Exchange, responsible for enforcing the rules of that self-regulatory organization, investigating customer complaints and prosecuting disciplinary actions. Mr. Gilbert was at the NYSE from 1995 to 2000. He also was a litigation attorney in private practice from 1990 to 1995, with a focus on complex commercial litigation and securities class actions. Mr. Gilbert is a graduate of Columbia University and New York University School of Law.

Speakers:

Kate Johnson is Examination Manager in FINRA's AML Investigative Unit, where she routinely works to address complex money laundering and fraud risks. After joining FINRA in 2013, Ms. Johnson worked on cycle examinations in the New York District Office as well as a specialized team focusing on the examinations of large broker-dealers. Ms. Johnson received her BA in Business from Franklin & Marshall College and is CAMS certified.

Blake Snyder is Senior Director of FINRA's AML Investigative Unit, which consists of a specialized team of examination staff that conduct complex Anti-Money Laundering examinations. The AMLIU's other functions include providing guidance to FINRA examination and Enforcement staff in connection with examinations and investigations; providing training to FINRA staff throughout the country; and providing education and training to the industry on AML issues. Mr. Snyder assists in developing FINRA's AML-related priorities and serves as a Regulatory Specialist within FINRA in the areas of AML, fraud and financial crime. Mr. Snyder holds the Certified Regulatory and Compliance Professional™ (CRCP)™ designation, and graduated from Florida State University with a Bachelor's degree in Finance. Mr. Snyder works from FINRA's Florida Office, and has been with FINRA for 19 years.

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

Suspicious Activity Monitoring: What to Look for and How to Find It

Panelists

■ Moderator

- **Scott Gilbert, Vice President and District Director, Member Supervision, FINRA New York District Office**

■ Panelists

- **Katherine Johnson, Examination Manager, FINRA Anti-Money Laundering Investigative Unit (AMLIU)**
- **Blake Snyder, Senior Director, FINRA Anti-Money Laundering Investigative Unit (AMLIU)**