

December 12, 2019

New York, NY

2019 FINRA

New York Region Member Forum

Welcome

The FINRA New York Region Member Forum is a half-day event designed to provide financial professionals associated with FINRA member firms in the New York Region the opportunity to engage in key discussions with FINRA staff, and connect with industry leaders and peers. The forum also includes thoughtful discussions around the future landscape of the financial services industry, and the opportunity to meet one-on-one with FINRA Regulatory Coordinators, and Surveillance and District Directors to discuss firm-specific questions.

Agenda

8:00 a.m. – 12:30 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:05 a.m.	Welcome and Opening Remarks
9:05 a.m. – 9:45 a.m.	► Fireside Chat With FINRA President and CEO Robert Cook and Senior Vice President of Member Relations and Education Chip Jones
9:45 a.m. – 9:55 a.m.	Networking Break
9:55 a.m. – 10:40 a.m.	Transformation of FINRA's Examination and Risk Monitoring Program
10:40 a.m. – 10:50 a.m.	Networking Break
10:50 a.m. – 11:35 a.m.	Suspicious Activity Monitoring: What to Look for and How to Find it
11:35 a.m. – 11:50 a.m.	Networking Break and Boxed Lunch
11:50 a.m. – 12:30 p.m.	► 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
12:30 p.m.	Forum Adjourns

Continuing Education (CE) Credits

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

Stop by the App/CE desk in the Gotham Ballroom foyer to receive your CLE voucher.

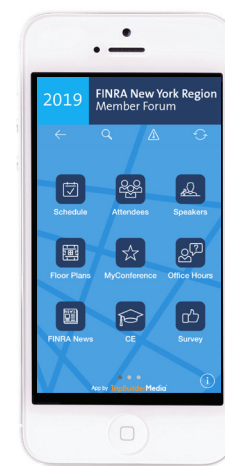
Wi-Fi Code Access

Network: *IHGconnect*
Password: *finra1939*

Download the Conference App

Download the FINRA New York Region Member Forum app for access to all event 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” and then 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 event) and password (finra1939).
5. Click on the “Events” icon and then select the “New York Region Member Forum.”



FINRA[®]

Office Hours

Office Hours provide an opportunity for forum attendees to meet one-on-one with FINRA staff.








FINRA employees will be available for 15-minute appointments to answer questions and discuss firm-specific questions and issues. Attendees can make an appointment via the forum app or onsite at the App/CE Desk.

► Office Hours are held in Central Park Room

Time	Coordinator	NY District Office	Table
9:00 to 10:00 a.m.	Kristin Ferrante	Jericho	1
	Catherine Shipley	Brookfield Place	2
	Alina Rabinovich-Kalman	Brookfield Place	3
	Lana Idelchik	Brookfield Place	4
	Davine Davids	Brookfield Place	5
	Hazel Cohen	Brookfield Place	6
	Henry (Hank) Kugaczewski	Brookfield Place	7
	Ginger Corrao	Brookfield Place	8
	Joanne Pinelli	Jericho	9
10:00 to 11:00 a.m.	Joan McGimpsey	Jericho	1
	Paul Carroll	Jericho	2
	John Livreri	Brookfield Place	3
	Stephen (Steve) Bucchere	Brookfield Place	4
	Pratibha Mirchandani	Brookfield Place	5
	Thomas (Tom) Textor	Brookfield Place	6
	Raymond (Ray) Sims	Brookfield Place	7
	Alex Torresano	Brookfield Place	8
	Tanya Crosbourne	Brookfield Place	9
11:00 to 12:00 noon	William (Bill) Jakob	Jericho	1
	Yana Martova	Brookfield Place	2
	Anthony Carillo	Brookfield Place	3
	George Steers	Brookfield Place	4
	Andrew (Andy) Clipper	Brookfield Place	5
	Melissa Keller	Brookfield Place	6
	Karen Davis	Brookfield Place	7
	Theodore (Ted) Palladino	Brookfield Place	8

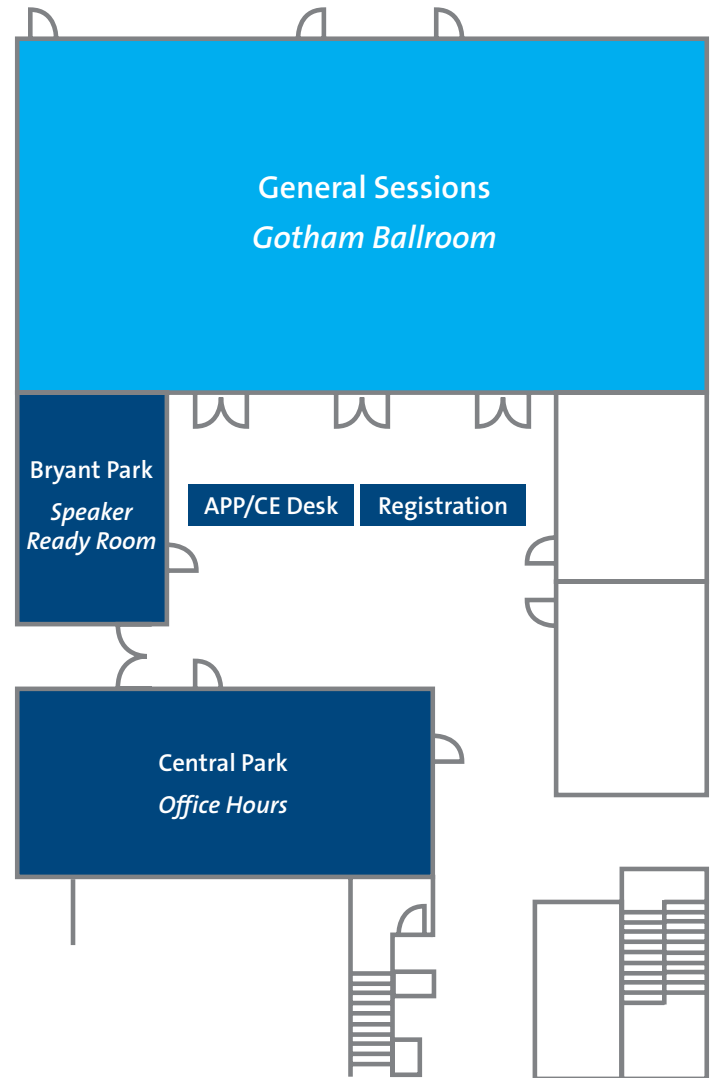
Business Model | Ribbon Key

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

	Retail
	Retail—Independent Contractor
	Institutional
	Insurance Affiliate
	Private Placement / Mergers and Acquisitions
	Fixed Income
	Clearing

Forum Map | The InterContinental New York Times Square

Take a few moments to review the floor plan to help you become familiar with the layout.



Speaker List

Speaker	FINRA Office
Ornella Bergeron	FINRA Member Supervision
Robert Cook	FINRA
Scott Gilbert	FINRA New York District Office Brookfield Place
Katherine (Kate) Johnson	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Chip Jones	FINRA Member Relations and Education
Demetrios (Jay) Koutros	FINRA Member Supervision
Blake Snyder	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
William (Bill) St. Louis	FINRA Northeast Region
Timothy (Tim) Thompson	FINRA Market Regulation
James (Jim) Wrona	FINRA Office of General Counsel