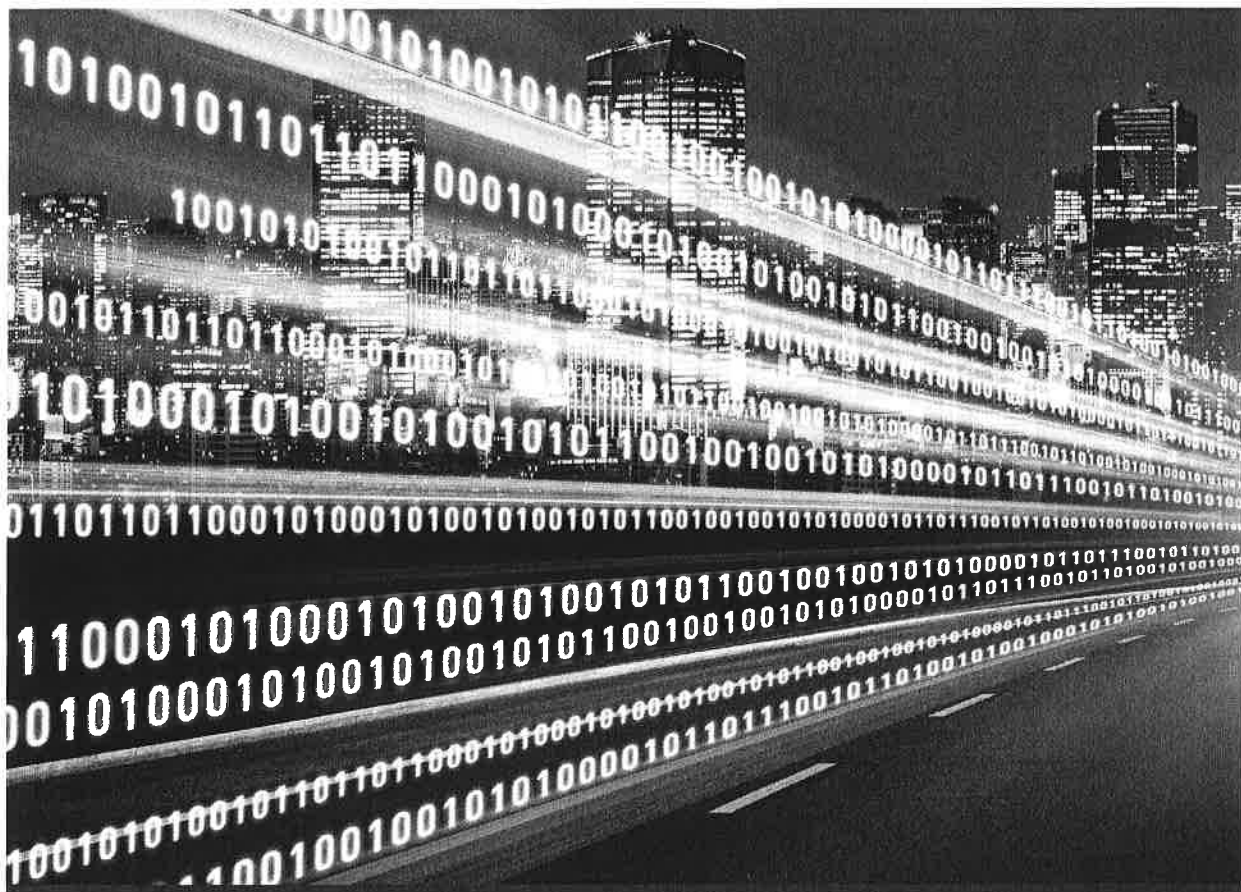


From: Nancy Candelaria
Sent: Thursday, September 12, 2019 11:41 AM
To: Steve Berlin
Subject: Notice of Attendance

Hi Steve,

This email serves an notice of attendance by Ashley Evans to the 2019 FINRA Institutional Conference. Details of the event are attached.....

Kind Regards,
Nancy Candelaria
Office of the City Treasurer



2019 FINRA

Institutional Conference

September 11 | New York, NY

Bringing together industry experts, executives and policymakers to share their specialized knowledge and experiences on topics affecting institutional firms across the country.



Register at www.finra.org/2019Institutional

Stay updated and share your comments using #FinraIC

Agenda | Wednesday, September 11

8:00 a.m. – 4:00 p.m.	Registration
8:00 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:15 a.m.	Welcome and Opening Remarks • William (Bill) St. Louis, FINRA Northeast Region
9:15 a.m. – 10:15 a.m.	Supervision of Trading Desk Operations
	<p>► This session focuses on the supervision of trading desk activities. Join FINRA staff and industry practitioners as they view supervisory responsibilities, discuss surveillance controls that can be implemented to mitigate risk associated with trading desk operations, and review effective risk tools.</p> <p>Moderator: • Jeffrey (Jeff) Herrmann, FINRA New York District Office</p> <p>Panelists: • William (Bill) Crooks, FINRA Market Regulation • Jill Ostergaard, Exo Securities LLC</p>
10:15 a.m. – 10:30 a.m.	Networking Break
10:30 a.m. – 11:30 a.m.	Conflicts of Interest
	<p>► Join FINRA staff and industry professionals as they discuss helpful tips and tools for managing conflicts of interest. Panelists describe practices that raise conflicts of interest concerns and how to mitigate these issues.</p> <p>Moderator: • Jonah Arcade, FINRA New York District Office</p> <p>Panelists: • Joshua (Josh) Greenstein, Puma Capital • Phillip (Phil) Shaikun, FINRA Office of General Counsel • Carmine Venezia, Goldman Sachs & Co.</p>
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
	<p>► During this session, FINRA staff and industry practitioners discuss common challenges institutional firms face in establishing and implementing AML compliance programs, as well as practical solutions to these challenges that FINRA staff and industry professionals have developed and observed.</p> <p>Moderator: • Jason Foye, FINRA Anti-Money Laundering Investigative Unit (AMLIU)</p> <p>Panelists: • Katherine (Kate) Johnson, FINRA Anti-Money Laundering Investigative Unit (AMLIU) • Joan (Joanie) Jones, Piper Jaffray & Co. • Marianne Paoli, HSBC Securities (USA), Inc.</p>
1:30 p.m. – 1:45 p.m.	Networking Break
1:45 p.m. – 2:45 p.m.	Common Examination Findings for Institutional Firms
	<p>► Join FINRA staff as they discuss the most common deficiencies noted during FINRA cycle examinations of institutional firms. Industry practitioners describe taking corrective action and updating compliance procedures and practices based on lessons learned from common examination findings pertaining to fixed income and equity sales, and trading business lines.</p> <p>Moderator: • Scott Gilbert, FINRA New York District Office</p> <p>Panelists: • Gary Distell, Guggenheim Securities, LLC • Rajesh Mirchandani, FINRA Market Regulation</p>

Registration | Travel and Hotel Information

How to Register

To register, visit www.finra.org/2019Institutional and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (202) 728-6980 or send an email to conreq@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

The special discounted rate for the first 50 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after August 26, 2019.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6980.

REGISTER NOW @



Fees

IN-PERSON—INDIVIDUAL	
FINRA Member Firm must provide valid CRD #	\$945
FINRA Member Small Firm must provide valid CRD #	\$495
Non-Member	\$1,325
Government/Regulator	\$670

IN PERSON GROUP* (Per Person)	
FINRA Member Firm must provide valid CRD #	\$800
FINRA Member Small Firm must provide valid CRD #	\$370
Non-Member	\$1,130

* Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary. Please note that hotel reservations, cancellations, and charges are the attendee's responsibility.

Hotel Information

The 2019 Institutional Conference takes place at:

Crowne Plaza Times Square Manhattan
1605 Broadway
New York, NY 10019

Hotel Reservations

A room block is available at the Crown Plaza Times Square Manhattan hotel for registered attendees. The special room rate of \$359 per night, plus tax, is available until August 20, 2019, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis.

To reserve a room, you must first register as an attendee for the conference. Please contact conreq@finra.org with any additional questions.

For more information and to register, please visit www.finra.org/2019Institutional

Agenda | Wednesday, September 11| continued

2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Ask FINRA Senior Staff
	<ul style="list-style-type: none"> ▶ FINRA senior leaders and industry experts discuss the regulatory environment and a range of topics affecting institutional firms. <p>Moderator:</p> <ul style="list-style-type: none"> • William (Bill) St. Louis, FINRA Northeast Region <p>Panelists:</p> <ul style="list-style-type: none"> • Ornella Bergeron, FINRA Office of Risk Oversight and Operational Regulation • Gene DeMaio, FINRA Market Regulation • John Edmonds, FINRA New York District Office • Scott Gilbert, FINRA New York District Office
4:00 p.m.	Conference Adjourns

Continuing Education (CE) Credits

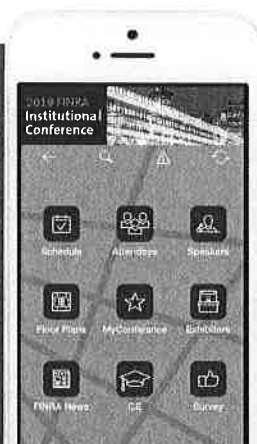
Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®], and Certified Financial Planner (CFP) continuing education (CE) credits – plus a Continuing Legal Education (CLE) CE voucher.

Exhibitors

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

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

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at (508) 759-8180 or email Jeff.Arcuri@finra.org to request a conference exhibitor package.



2019 FINRA Institutional Conference App

Our conference app is created specifically for the Institutional Conference; it empowers our attendees to network and connect, and it provides conference details at your fingertips. The app will be available for download in the near future. It includes information about:

- ▶ speakers;
- ▶ sessions;
- ▶ exhibitors;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.

For more information and to register, please visit www.finra.org/2019Institutional

Speakers | as of July 24, 2019

Jonah Arcade	FINRA New York District Office
Ornella Bergeron	FINRA Office of Risk Oversight and Operational Regulation
William (Bill) Crooks	FINRA Market Regulation
Gene DeMaio	FINRA Market Regulation
Gary Distell	Guggenheim Securities, LLC
John Edmonds	FINRA New York District Office
Jason Foye	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Scott Gilbert	FINRA New York District Office
Joshua (Josh) Greenstein	Puma Capital
Jeffrey (Jeff) Herrmann	FINRA New York District Office
Katherine (Kate) Johnson	FINRA Anti-Money Laundering Investigative Unit (AMLIU)
Joan (Joanie) Jones	Piper Jaffray & Co.
Rajesh Mirchandani	FINRA Market Regulation
Jill Ostergaard	Exos Securities LLC
Marianne Paoli	HSBC Securities (USA), Inc.
Philip (Phil) Shaikun	FINRA Office of General Counsel
William (Bill) St. Louis	FINRA Northeast Region
Carmine Venezia	Goldman Sachs & Co.

