



2019 FINRA

RegTech Conference

January 17 | New York, NY

Bringing together regulators, thought leaders and industry practitioners to learn more about the use of RegTech tools, and related opportunities and challenges.



Register at www.finra.org/regtechconference2019

Stay updated and share your comments using #FinraRegTech

Thursday, January 17	
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 Remarks <ul style="list-style-type: none"> • Haimera (Haime) Workie, FINRA Emerging Regulatory Issues
8:35 a.m. – 9:35 a.m.	Technology Tools for RegTech
	<p>▶ Join industry experts as they discuss how they leverage technology to remain competitive and compliant with regulatory requirements. During this session, panelists discuss key innovative technologies that are transforming compliance functions including cloud storage, blockchain, big data analytics and artificial intelligence. Panelists also identify unique opportunities to enhance compliance efficiency and efficacy, and the potential regulatory and implementation challenges these tools may pose.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Kavita Jain, FINRA Emerging Regulatory Issues <p>Panelists:</p> <ul style="list-style-type: none"> • Jo Ann Barefoot, Barefoot Innovation Group • Catherine (Katie) Makstenieks, Deloitte Corporate Finance LLC • David Shrier, MIT Media Lab
9:35 a.m. – 9:45 a.m.	Networking Break
9:45 a.m. – 10:45 a.m.	Regulators’ Viewpoint on RegTech
	<p>▶ As the industry leverages new technologies to assist with compliance, regulators are adjusting and adapting their own supervision and surveillance processes. Join our panel of regulators as they discuss what is shaping their agendas and perspectives on the use and adoption of RegTech tools. Panelists discuss how they are exploring innovative technologies to assist with their supervision and surveillance efforts, and how they are examining firms and their use of RegTech tools.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Haimera (Haime) Workie, FINRA Emerging Regulatory Issues <p>Panelists:</p> <ul style="list-style-type: none"> • Nick Cook, Financial Conduct Authority (FCA) • Jeffrey (Jeff) Fortune, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation • Michael Pieciak, North American Securities Administrators Association (NASAA)
10:45 a.m. – 11:00 a.m.	Networking Break
11:00 a.m. – 11:30 a.m.	Fireside Chat
	<ul style="list-style-type: none"> • Robert (Bob) Colby, FINRA Chief Legal Office • Andrew Gray, Depository Trust & Clearing Corporation (DTCC)
11:30 a.m. – 12:30 p.m.	Networking Lunch and Dessert With Exhibitors
12:30 p.m. – 1:30 p.m.	RegTech Initiatives for Customer Identification and Anti-Money Laundering (AML) Compliance
	<p>▶ Anti-Money Laundering (AML) and Know Your Customer (KYC) guidance are critical initiatives for financial institutions. During this panel, attendees learn how new technologies are being leveraged to enhance KYC and AML processes, and the potential regulatory and operational challenges.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Blake Snyder, FINRA Anti-Money Laundering Investigative Unit (AMLIU) <p>Panelists:</p> <ul style="list-style-type: none"> • Patrick Dutton, HSBC North America • Jeff Horowitz, Coinbase Inc. • Robert (Bob) Schukai, Mastercard
1:30 p.m. – 1:45 p.m.	Networking Break

Agenda | Thursday, January 17 | continued

1:45 p.m. – 2:45 p.m.	RegTech Initiatives for Surveillance and Monitoring <ul style="list-style-type: none">▶ Technologies like artificial intelligence and big data analytics have the potential to overhaul surveillance systems from the traditional rule-based methods to more predictive, risk-based processes. During this session, panelists discuss the evolution of market surveillance and conduct-monitoring tools in recent years and the shift to more holistic, enterprise-wide surveillance. Panelists also share their thoughts on how these tools might offer the potential to make surveillance and monitoring more proactive and risk-based. <p>Moderator:</p> <ul style="list-style-type: none">• Lore Aguilar, FINRA Market Regulation <p>Panelists:</p> <ul style="list-style-type: none">• Gregg Berman, Citadel Securities• John Davidson, E*TRADE Financial• Jon Kroeper, FINRA Quality of Markets• John Stecher, Barclays
2:45 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Industry Views on the Current State and Future of RegTech <ul style="list-style-type: none">▶ During this session, FINRA staff and industry practitioners share their views on how RegTech can benefit firms and the industry, but may also pose new challenges. Panelists discuss their approach to investing in RegTech and other emerging technologies, and consider how these tools influence the financial services industry. <p>Moderator:</p> <ul style="list-style-type: none">• Steven (Steve) Polansky, FINRA Regulatory Operations/Shared Services <p>Panelists:</p> <ul style="list-style-type: none">• Kerry Gendron, Morgan Stanley• Boris Khentov, Betterment Securities• Melissa MacGregor, Securities Industry and Financial Markets Association (SIFMA)• Jonah Crane, RegTech Lab
4:00 p.m.	Closing Remarks/Conference Adjourns

Exhibitors

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

Current exhibitors include:

- ▶ Bastille
- ▶ Entreda
- ▶ FinWeb Tech LLC
- ▶ Global Relay
- ▶ N-Tier Financial Services, LLC
- ▶ Red Oak Compliance
- ▶ RegEd
- ▶ Smarsh

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.

Continuing Education (CE) Credits

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

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.

For more information and to register, please visit www.finra.org/regtechconference2019

Featured Speakers



Robert L.D. Colby—Chief Legal Officer, FINRA

Robert L.D. Colby is Chief Legal Officer of the Financial Industry Regulatory Authority (FINRA), which he joined in June 2012. In this capacity, he oversees FINRA's corporate and regulatory General Counsel functions as well as FINRA's Advertising and Corporate Financing Departments and the Office of Hearing Officers. Previously, Mr. Colby was a partner in the Washington, DC, office of Davis Polk & Wardwell LLP, where he advised on regulatory and compliance matters involving securities and derivatives for financial institutions, markets and clearing organizations. Before joining Davis Polk in 2009, Mr. Colby served for 17 years as Deputy Director of the U.S. Securities and Exchange Commission's Division of Trading and Markets. In that role, he was responsible for the regulation of broker-dealers, securities markets and clearing organizations. Previously, for 11 years he was Chief Counsel of the Division and Chief of the Division's Branch of Market Structure.



Andrew Gray—Managing Director, Group Chief Risk Officer Depository Trust & Clearing Corporation (DTCC)

Andrew Gray is Managing Director, Group Chief Risk Officer, with global responsibility for all aspects of DTCC's Risk Management, including Credit, Market & Liquidity Risk, Operational Risk Management and Systemic Risk, Information Security and Technology Risk Management, Business Continuity Management and Global Security Management. Andrew also has responsibility for DTCC's Enterprise Data Management program. Prior to this role, Andrew served as Managing Director, Core Business Management, with overarching responsibility for DTCC's businesses, including Clearance and Settlement of Equities and Fixed Income products, Asset Services, Wealth Management Services, Insurance & Retirement Services, Omgeo and Data Services as well as the firm's Marketing & Communications function. Andrew serves on the Board of the International Securities Services Association (ISSA) and is a member of the Board of Trustees of Global Association of Risk Professionals (GARP). Before joining DTCC in September 2009, Andrew spent more than a decade with Merrill Lynch. Most recently, he served as Managing Director and Chief Operating Officer for Merrill's Latin American and Canadian businesses. Prior to that, he was a Managing Director in Strategy and Business Development for Merrill's Global Markets and Investment Banking businesses and for Global Securities Research & Economics. Previously, Andrew was a principal at Booz-Allen & Hamilton, the global management consulting firm.



2019 FINRA RegTech Conference App

Our conference app is created specifically for the RegTech 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/regtechconference2019

How to Register

To register, visit www.finra.org/regtechconference2019 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 conreg@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

Full refunds—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the conference. We regret that refunds will not be granted after January 3, 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.

Fees

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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/State/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 RegTech Conference takes place at:

InterContinental
New York Times
Square
300 West 44th Street,
New York, NY 10036

Hotel Reservations

A room block is available at the InterContinental New York Times Square Hotel at the special rate of \$249 per night, plus tax. This rate is available until December 26, 2018 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. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please contact us with any additional questions.

Speakers | as of January 16, 2019

Lore Aguilar	FINRA Market Regulation
Jo Ann Barefoot	Barefoot Innovation Group
Gregg Berman	Citadel Securities
Robert (Bob) Colby	FINRA Chief Legal Office
Nick Cook	Financial Conduct Authority (FCA)
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John Stecher	Barclays
Haimera (Haime) Workie	FINRA Emerging Regulatory Issues

Please note: Due to the government shutdown, the following speakers will not be able to participate in the RegTech Conference: Hester Peirce (SEC), Valerie Szczepanik (SEC) and Daniel Gorfine (CFTC).