

NAVIGATING CHANGE

2024 FINRA Annual Conference Agenda

About FINRA Annual Conference

FINRA's premier event—the Annual Conference provides the opportunity for practitioners, peers and regulators to exchange ideas on today's most timely compliance and regulatory topics. The conference offers a broad range of topics including regulatory compliance, risk management, crypto asset developments, trends and threats in financial crimes and the evolution of branch office inspections, among others.

Agenda: Day One

Monday, May 13	
<i>All sessions are listed in Eastern Time.</i>	
5:00 p.m. – 7:00 p.m.	Registration & Information New Attendee Reception
Tuesday, May 14	
7:30 a.m. – 6:00 p.m.	Registration & Information
8:30 a.m. – 10:00 a.m.	Continental Breakfast & Seating
10:00 a.m. – 10:45 a.m.	<p>▶ Plenary Session – Welcome Remarks and Fireside Chat</p> <p>Join this session to hear perspectives from FINRA leadership and the Chair of FINRA's Board of Governors on today's regulatory landscape and how FINRA and firms can work together to navigate a changing market.</p>
10:45 a.m. – 11:00 a.m.	<p>▶ Break</p> <p>FINRA IDEA Booth, Networking with Exhibitors</p>
11:00 a.m. – 11:50 a.m.	<p>▶ Concurrent Sessions:</p> <p>Developments in Remote Supervision</p> <p>Join FINRA staff as they explore the latest remote supervision developments including the remote inspection pilot program, amendments to supervision rules to cover Residential Supervisory Locations and risk-based supervision best practices.</p> <p>Promoting Market Integrity: FINRA's Role in Market Structure</p> <p>Hear regulatory and industry perspectives on FINRA's role in promoting market integrity and on the new and evolving rules such as current market structure proposals, securities lending and how transparency initiatives are shaping the market.</p> <p>Technology Governance: Mitigating Risk Throughout the Vendor Lifecycle</p> <p>This session dives into factors firms should consider when outsourcing activities or functions to third-party providers. Hear from panelists as they discuss how to mitigate vendor risk with strong technology governance programs that encompass the lifecycle of vendor engagement, from onboarding, performing ongoing due diligence, responding to events, and offboarding.</p>
11:50 a.m. – 12:50 p.m.	<p>▶ Lunch Break</p> <p>General Lunch, New Attendee Luncheon, CRCP® Lunch</p>
12:50 p.m. – 1:15 p.m.	▶ Dessert With Exhibitors

All sessions at the FINRA Annual Conference are recorded unless noted.

1:15 p.m. – 2:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>Modernizing Off-Channel Communications Supervision Join panelists as they discuss observations from thematic reviews of off-channel communications such as text and social media platforms and effective techniques firms are using to provide oversight of their firms' communications.</p> <p>The Latest in Private Placement Sales Oversight Learn about regulatory developments, compliance obligations and effective compliance practices related to the sales of private placements, including relevant topics such as Regulation Best Interest, communications, due diligence and conflicts of interest.</p> <p>Charting the Course: Essential Insights for Compliance Professionals in Navigating Change In a fast-paced regulatory environment, compliance professionals fill many roles to keep their firms compliant, minimize firm risks, and adapt compliance programs to meet changing regulatory requirements. This session aims to provide compliance professionals with practical strategies and research-backed insights to navigate change effectively.</p>
2:15 p.m. – 2:30 p.m.	<p>▶ Break FINRA IDEA Booths, Networking With Exhibitors</p>
2:30 p.m. – 3:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>Generative Artificial Intelligence and Large Language Models: A Look Ahead Artificial Intelligence (AI) is transforming the future and has unique implications for the financial sector. In this session, hear regulatory and industry perspectives on the current and future states of generative AI and large language models, the challenges presented through proprietary use, as well as opportunities and effective practices firms can employ to minimize risk.</p> <p>Supervisory Considerations for Complex Products Attend this session to hear from FINRA and industry professionals as they share perspectives on the broad scope of complex investment vehicles and address both supervisory challenges and effective practices related to securities sales practices.</p> <p>A View Into FINRA's Examination, National Cause and Financial Crimes Detection, and Risk Monitoring Programs Join FINRA's Member Supervision staff as they provide transparency into their operations and priorities, and discuss top issues observed during examinations and investigations. You'll also hear how interactions with Risk Monitoring help inform examinations and investigations, and how results are considered by Risk Monitoring.</p>

Continuing Education (CE) Credits

The FINRA Annual Conference is eligible for Certified Regulatory and Compliance Professional (CRCP)[®] and Certified Financial Planner (CFP) continuing education (CE) credits—and depending on your jurisdiction, Continuing Legal Education (CLE) credits. *CLE credits may only be available for sessions lasting 50 minutes or longer.*

3:15 p.m. – 3:30 p.m.	<p>▶ Break</p> <p>FINRA IDEA Booths, Networking With Exhibitors</p>
3:30 p.m. – 4:30 p.m.	<p>▶ Concurrent Sessions:</p> <p>The Progression of Regulation Best Interest and Form CRS</p> <p>During this session, panelists discuss recent observations on firm adherence to Regulation Best Interest and Form CRS and share guidance on Reasonably Available Alternatives, the Care Obligation, and Conflicts of Interest.</p> <p>FINRA’s Disciplinary Hearing Process</p> <p>Hear from FINRA staff as they broaden awareness about FINRA’s disciplinary hearing process which highlights distinctions between self-driven hearings and administrative law judge hearings.</p> <p>Fixed Income Securities Regulatory Outlook</p> <p>This session addresses the latest regulatory focuses related to municipal and other fixed income securities, including the IRS’ de minimis rule and SEA Rule 15c2-11, and considerations firms should keep in mind with respect to exam priorities, findings and enforcement actions.</p>
4:30 p.m. – 4:45 p.m.	<p>▶ Break</p> <p>FINRA IDEA Booths, Networking With Exhibitors</p>
4:45 p.m. – 5:30 p.m.	<p>▶ Plenary Session - Leaders from US Government Provide Their Perspective on the Financial Industry Threat Landscape and Defending it From Cyber Attacks</p> <p>The financial industry faces growing threats from criminal actors and it is more imperative than ever that we understand the threat landscape to mitigate these threats. And with the financial industry becoming the most targeted sector for cyber attacks, it is more imperative than ever to take proactive steps to fortify your cybersecurity. Join this session for an exclusive perspective from executive leaders from the Federal Bureau of Investigation (FBI) and the the National Security Council, The White House on the latest threat intelligence impacting the financial industry.</p>
7:30 p.m. – 9:30 p.m.	<p>▶ Opening Night Reception</p>

Agenda: Day Two

Wednesday, May 15	
6:30 a.m. – 7:30 a.m.	FINRA 5K
7:30 a.m. – 6:00 p.m.	Registration & Information
7:30 a.m. – 9:00 a.m.	Breakfast

9:00 a.m. – 10:00 a.m.	<p>▶ Plenary Session – A Conversation With the FINRA Board of Governors</p> <p>Hear from FINRA’s Board of Governors on the most notable events from 2023, Board priorities for 2024, and guidance for firms on navigating changes as the industry landscape evolves.</p>
10:00 a.m. – 10:15 a.m.	<p>▶ Break</p> <p>FINRA IDEA Booth, Networking with Exhibitors</p>
10:15 a.m. – 11:15 a.m.	<p>▶ Plenary Session – Ask FINRA Senior Leaders</p> <p>During this session, FINRA senior staff provide updates on key regulatory issues and initiatives. Panelists address questions relating to FINRA’s risk-based examination program, disciplinary actions, market regulation programs and new and anticipated rules, among other topics.</p>
11:15 a.m. – 11:30 am.	<p>▶ Break</p> <p>FINRA IDEA Booths, Networking With Exhibitors</p>
11:30 a.m. – 12:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>A View Into FINRA’s Enforcement Program</p> <p>Hear directly from FINRA Enforcement staff as they share the latest enforcement trends, noteworthy cases, priorities, and learnings firms can leverage to strengthen their compliance programs.</p> <p>Advances in Senior Investor Protection</p> <p>Gain insights into actions firms and regulators are taking to minimize the financial risks that target the aging investor population. Panelists share perspectives on the latest exploitation techniques and tools and effective practices that can be adopted to engage, inform and protect senior and at-risk investors.</p> <p>Data Analytics: Insight Into Practical Implementation</p> <p>FINRA and compliance practitioners discuss how they are applying data analytics to enhance their business operations, regulatory functions and outcomes, and share thoughts on the opportunities, risks and challenges presented from evolving data models and technologies.</p>
12:15 p.m. – 1:15 p.m.	<p>▶ Lunch</p> <p>Firm Grouping Networking and General Lunch, Lunch With the Regional Committees</p>
1:15 p.m. – 1:45 p.m.	<p>▶ Dessert With Exhibitors</p>

1:45 p.m. – 2:45 p.m.	<p>▶ Concurrent Sessions:</p> <p>Crypto Assets: Trends, Regulatory Developments and Resources Join this session to learn about the latest cryptocurrency regulatory developments including the crypto-assets retail communications sweep and rule proposal, current trends in crypto misconduct, and resources and guidance firms can leverage.</p> <p>Crowdfunding Capital Raises – Considerations for Broker-Dealers & Funding Portals This session explores aspects of Regulation CF and considerations for broker-dealers and funding portals within the crowdfunding realm. Join panelists at this session to gain knowledge on emerging regulatory risks and practices broker-dealers and funding portals can implement to stay in compliance.</p> <p>Investor Research: Practical Insights About Investors Attend this session to hear the latest qualitative and quantitative research on retail investor behaviors, knowledge and attitudes and population-specific trends, and learn how to leverage these data to market, educate and serve investors. Hear from panelists as they discuss findings, innovative outreach efforts and resources firms can leverage to strengthen their understanding of today's retail investors.</p>
2:45 p.m. – 3:15 p.m.	<p>▶ Networking Break FINRA IDEA Booths, Networking With Exhibitors</p>
3:15 p.m. – 4:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>Financial Crimes: Outpacing the Threats Hear how threat actors are attempting to defraud investors through tactics including market manipulation, new account fraud, cryptocurrency and generative AI. Panelists address the most prominent threats and share effective practices and resources to help firms proactively combat criminals.</p> <p>Developments in Communications Supervision Join panelists as they address the latest developments in key communications topics including use of social media, foreign language translations practices, and product-related communications such as cryptocurrency, private placements and artificial intelligence.</p> <p>Financial Management Trending Topics Join this session to learn about current developments in the world of financial responsibility, including the liquidity risk management proposal, Expense Sharing Notice to Member 03-63, Revenue Recognition ASC 606, Fidelity Bonds FINRA Rule 4360, T+1 Preparedness, Net Capital, Customer Reserve Calculation and other notable topics addressed in the 2024 Regulatory Oversight Report.</p>
4:15 p.m. – 4:30 p.m.	<p>▶ Break FINRA IDEA Booths, Networking With Exhibitors</p>

4:30 p.m. – 5:15 p.m.	<p>▶ Concurrent Sessions:</p> <p>Cybersecurity: Staying Ahead of the Threat Through Strong Cyber Programs Join this session to hear regulatory, law enforcement, and industry perspectives on the most prevalent cyber threats, the evolving regulatory focus on mitigating cyber risks and practical resources and tactics firms can employ to strengthen their cybersecurity programs.</p> <p>FINRA'S Membership Application Program (MAP) – Avoiding Pitfalls, What's New, and What's Next Join the MAP Senior Leadership team for an in-depth discussion on FINRA's Standards of Admission, the latest developments in the MAP process, including how the program continues in its efforts to help firms meaningfully demonstrate compliance address trends, risks, and issues in our evolving industry landscape, and optimizing the application process for constituents.</p> <p>A View Into FINRA's Market Regulation and Transparency Services Program Join FINRA staff for an exclusive view into Market Regulation and Transparency Services and learn about their internal initiatives, rulemaking developments, proposed SEC rules and perspectives on what firms should consider for their securities compliance programs.</p>
5:15 p.m. – 6:45 p.m.	▶ Networking Reception

Agenda: Day Three

Thursday, May 16	
7:30 a.m. – 12:00 p.m.	Registration & Information
7:30 a.m. – 9:00 a.m.	Trending Topics Networking and General Breakfast
9:00 a.m. – 10:00 a.m.	<p>▶ Plenary Session – Generational Inclusion: A Conversation With Jason Dorsey Experience an engaging research-based conversation designed to provide insights on the influence and impact of generations in our organizations and across the financial services industry landscape. <i>This session will not be available for replay</i></p>
10:00 a.m. – 10:30 a.m.	<p>▶ Fireside Chat: Congressional Perspectives With Rep. French Hill, Vice-Chairman of the House Financial Services Committee, U.S. House of Representatives Join this discussion to hear insights from Congress on the current legislative landscape and the impact on the financial industry.</p>
10:30 a.m. – 10:45 a.m.	▶ Break

10:45 a.m. – 11:45 a.m.	<p>▶ Plenary Session – Compliance and Legal Trends</p> <p>Join industry leaders as they discuss trends, key focus areas and strategies that are shaping the industry. Panelists share insights on how these changes will affect compliance, and how firms are evolving and responding to business, regulatory and technology issues.</p>
11:45 a.m. – 12:15 p.m.	<p>▶ Plenary Session – Fireside Chat: Insights From the Securities and Exchange Commission (SEC) With Haoxiang Zhu, Director of Trading and Markets</p> <p>Hear perspectives from the SEC on regulatory developments impacting the broker dealer community and insight into the engagement between the Commission and FINRA.</p>
12:15 p.m.	Conference Adjourns

FINRA IDEA—Innovation, Demonstration and Engagement Area

Meet with staff from various FINRA departments to engage on topics of interest, get answers to your questions, provide feedback and gather information and resources.

- C² - Cybersecurity and Crypto
- Credentialing, Registration, Education and Disclosure: Featuring FLEX (Financial Learning Experience)
- Dispute Resolution Services
- Diversity, Equity and Inclusion
- FINRA Annual Regulatory Oversight Report
- FINRA Investor Education Foundation
- FINRA's Tech and New Product Offerings
- FINRA's Vulnerable Adults & Seniors Team (VAST) Specialists
- Gaining Insights on FINRA.org
- Market Regulation and Transparency Services
- Membership Application Program (MAP) Group
- Office of the Ombuds
- Remote Supervision Developments

Networking Opportunities and Special Events

Monday, May 13	<p>Cybersecurity Incident Management Workshop - 1:00 p.m. - 4:00 p.m. (pre-registration required)</p> <p>New Attendee Reception - 5:00 p.m. - 7:00 p.m. (pre-registration required)</p>
Tuesday, May 14	<p>Generative Artificial Intelligence (AI) Primer Workshop - 8:00 a.m. - 9:30 a.m. (pre-registration required)</p> <p>New Attendee Luncheon - 11:50 a.m. - 12:50 p.m. (pre-registration required)</p> <p>Certified Regulatory and Compliance Professionals (CRCP)[®] Program Luncheon for Graduates - 11:50 a.m. - 12:50 p.m. (pre-registration required)</p> <p>Dessert With Exhibitors - 12:50 p.m. - 1:15 p.m.</p> <p>Opening Night Reception - 7:30 p.m. - 9:30 p.m.</p>
Wednesday, May 15	<p>FINRA 5K - 6:30 a.m. - 7:30 a.m. (pre-registration required)</p> <p>Firm Grouping Networking Lunch - 12:15 p.m. - 1:15 p.m.</p> <p>Lunch With the Regional Committees - 12:15 p.m. - 1:15 p.m. (pre-registration required)</p> <p>Dessert With Exhibitors - 1:15 p.m. - 1:45 p.m.</p> <p>Networking Reception - 5:15 p.m. - 6:45 p.m.</p>
Thursday, May 16	<p>Trending Topics Networking Breakfast - 7:30 a.m. - 9:00 a.m.</p>

Conference Exhibitors

Connect with a range of conference exhibitors offering compliance-related resources.

Platinum Level

- Smarsh

Gold Level

- Behavox Inc.
- FirmScribe
- Global Relay

Silver Level

- ACA Group
- MirrorWeb
- Proofpoint
- Red Oak Compliance Solutions
- Saifr
- StarCompliance

Full Exhibitor List

- ACA Group
- Bastille Networks
- BDO
- Behavox Inc.
- Business Information Group
- CapitalROCK
- CellTrust Corporation
- Charles Schwab
- Cative
- ComplianceEdge
- eflow
- FirmScribe
- Global Relay
- Greenboard
- Hearsay Systems
- Hilltop Securities
- INTAPP
- Kaplan
- Knopman Marks Financial Training
- MirrorWeb
- MyComplianceOffice
- NICE-Actimize
- n-Tier Financial Services, LLC
- Orion
- Pass Perfect by Cerifi
- Pinpoint Global Communications
- Proofpoint
- Quest CE
- Red Oak Compliance Solutions
- RegEd
- Saifr
- Securities Training Corp -STC
- Smarsh
- Smart Eye Technology, Inc.
- Softek
- StarCompliance
- Turnberry Solutions
- WebCE
- Withum