



Post Office Box 133, Bowling Green Station, New York, NY 10274

www.armgmt.org

NATIONAL CONFERENCE 2009

Ritz Carlton, Sarasota

January 26-28th

AGENDA OF EVENTS

(Attire: Business Casual)

Monday, January 26

- 8:00 AM – 5:00 PM** *Closed Door* FINRA/NASAA meetings
- 4:00 – 5:30 PM** **Registration and Networking Reception**
(Sponsored by RegEd)
- 5:30 – 9:00 PM** **Dinner on own to catch up with friends**
- 9:00 – 11:00 PM** **Business/Networking Welcome Evening Event**
(sponsored by Greico Financial)

Tuesday, January 27

- 8:00 – 9:00 AM** ***Continental Breakfast Buffet***
Registration
Vendor Fair opens
- 9:00 – 9:15 AM** **Welcome**
Marian Desilets, President, ARM Executive Board
Michael Gross, Acting Director, FL Division of Securities
- 9:15 – 9:45 AM** **Opening Address**
Joseph Borg, Esq., Past President, NASAA

Tuesday, January 27
(continued)

10:00 – 11:15 AM FINRA – Session One

Senior management from FINRA's Registration and Disclosure Department will provide updates regarding the implementation of the expanded definition of the statutory disqualification standards (Willful/SOX) and its impacts, as well as the proposed changes to the expungement rules. FINRA will also provide new updates regarding electronic fingerprinting as well as registration tips. Additionally, in the area of testing and continuing education, the panel will provide information concerning the upcoming Investment Bank Examination (Series 79), the redesign of the Regulatory Element of the Continuing Education Program, the newly launched electronic FINRA Waiver System and the Series 7 content outline research project.

- **Moderator: James (Jay) Cummings, FINRA Executive Vice President, Registration & Disclosure**
- **Richard (Rick) Pullano, FINRA Associate Vice President & RAD Chief Counsel**
- **Mary Ann Shaw, FINRA Director, Registration Operations**
- **John Kalohn, FINRA Associate Vice President, Testing & Continuing Education**

11:15 – 11:30AM Business/Networking Break
Sponsored by Prometric

11:30 – 12:45 PM FINRA – Session Two

Senior management from FINRA's Registration and Disclosure Department will provide information regarding proposed changes to the Form U4, Form U5, and Form BR scheduled to be implemented in 2009, as well as industry-related changes to the Web CRD and IARD systems currently scheduled for the 2009 software releases.

- **Moderator: Rick Pullano, FINRA Associate Vice President & RAD Chief Counsel**
- **Mario DiTrapani, FINRA Vice President, Registration & Disclosure Operations**
- **Jeffrey (Jeff) Weinstein, FINRA Assistant Director, RAD Product Management**

- 1:00 – 2:00 PM** **Lunch**
Sponsored by PassPerfect
- 2:15 – 3:30 PM** **Issues from the State’s Perspective**
“Day in the Life” of a Securities Regulator
- Larry Burton, TN Division of Securities (Moderator)
Pam Epting, FL Division of Securities
Susan Largman, NJ Bureau of Securities
Rod Griese, NE Division of Securities
Sheryl Lemon, CO Division of Securities
- 3:30 – 3:45 PM** **Business/Networking Break**
- 3:45 – 4:30 PM** **Mission Improbable – the ARM Sequel**
- The team has been summoned back into action. Their mission – *to save the economy of the free world*. Do they still possess the moxie, mental acuity and masterful skills to cope with the market upheaval that threatens the very foundation of our planet? Watch and listen as they: tackle auction rate securities; the new regulatory frontier of equity indexed annuities; confront the impact of the market collapse on the resources of state and firm self-regulation; contemplate and bloviate about the future structure of financial regulation.
- TEAM MEMBERS:**
- Michael Unger, Esq., Partner, Rubin and Rudman LLP
Joseph P. Borg, Esq., Director, Alabama Securities Comm.
Lewis Brothers – Senior Vice President, UBS PaineWebber
Bradley W. Skolnik, Esq. – Partner, Stewart & Irwin, P.C.
Robert D. Terry, Esq. – Division Director, Asst. Commissioner of Securities, Georgia Securities
- 5:00 PM** **Vendor Fair closes for day**
- 5:00 – 6:00 PM** **Shuttle buses to Beach Club**
- 5:30 – 7:00 PM** **Business/Networking Reception**
Sponsored by Securities Training & Johnson Lipman
- 7:00 – 11:00 PM** **Ritz at the Beach Club Party- Dinner, Dance & Dessert**
Hosted and Sponsored by ARM (dress: business casual)
Shuttle buses will run between 10:00-11:00 for return to hotel

Wednesday, January 28

- 8:00 – 9:00 AM** **Continental Breakfast Buffet**
Vendor Fair Opens
Breakfast sponsored by ARM
- 9:00 – 10:00 AM** **General Session**
Best Practices-Risk Assessment for the Registration Department
Attorney Karen M. O'Brien
Financial Industry Services Group LLC
- 10:00 – 10:30 AM** *Check out/Break*
- 10:30-Noon** **Industry (only) Best Practices Panel – Open Forum**
Back by popular demand, this session is designed to give industry participants an opportunity to engage in highly interactive discussions regarding best practices and broker/dealer hot topics. What challenges are you facing today? Do you have a question for other industry professionals? Do you want to ask others how they handle particular issues in their firms? This session is a great way to network and hear how other firms handle their day-to-day registration challenges. You can expect to participate in discussions on a wide array of topics. ARM Executive Board will also share initiatives it has been a part of this past year. Suggested topics can include:
- 1. Rule Book Consolidation*
 - 2. Transition Programs*
 - 3. Background Investigations*
 - 4. Electronic Signatures*
 - 5. Form filings (U4, U5, BR, BD, ADV, etc.)*
 - 6. Document imaging*
 - 7. Books & Records*
- ARM Executive Committee, Facilitators**
Michele Van Tassel, ARM Executive Committee - moderator
- Noon** **Vendor Fair and Conference Close**

Travel safe! See you next year - back in Boca in 2010!