

**FINRA**

Financial Industry Regulatory Authority

2014 FINRA

# South Region Compliance Seminar

November 20 – 21, 2014

Fort Lauderdale, FL

Harbor Beach Marriott

**THURSDAY, NOVEMBER 20**

8:00 a.m. – 5:00 p.m.	Seminar Registration
10:00 a.m. – 10:35 a.m.	<b>Welcome Remarks / Keynote Address</b>
10:35 a.m. – 11:45 a.m.	<b>General Session: 2014 Regulatory Priorities</b>
11:45 a.m. – 1:00 p.m.	Lunch
1:00 p.m. – 2:15 p.m.	<b>Concurrent Workshops</b> <ul style="list-style-type: none"> <li>▫Challenges of Supervising Independent Contractors</li> <li>▫Municipal Advisor Rules</li> <li>▫Suitability</li> </ul>
2:20 p.m. – 3:35 p.m.	<b>Concurrent Workshops</b> <ul style="list-style-type: none"> <li>▫Cybersecurity</li> <li>▫<b>New and Existing Products Due Diligence</b></li> <li>▫FINRA's New Supervision and Supervisory Controls Rules</li> </ul>
3:35 p.m. – 4:00 p.m.	Break
4:00 p.m. – 5:15 p.m.	<b>Concurrent Workshops</b> <ul style="list-style-type: none"> <li>▫Anti-Money Laundering</li> <li>▫Branch Office Supervision</li> <li>▫Fixed Income – Examination and Enforcement Updates</li> </ul>
5:15 p.m. – 6:15 p.m.	Reception

**FRIDAY, NOVEMBER 21**

7:30 a.m. – 8:30 a.m.	Continental Breakfast
8:30 a.m. – 9:30 a.m.	<b>General Session: Ask FINRA Staff</b>
9:30 a.m. – 9:50 a.m.	Break
9:50 a.m. – 11:00 a.m.	<b>Concurrent Workshops</b> <ul style="list-style-type: none"> <li>▫Financial and Operational Issues</li> <li>▫JOBS Act / Crowdfunding</li> <li>▫Managing Conflicts of Interest</li> </ul>
11:00 a.m. – 11:20 a.m.	Break
11:20 a.m. – 12:30 p.m.	<b>General Session and Repeat Workshop</b> <ul style="list-style-type: none"> <li>▫General Session: Enforcement Developments</li> <li>▫Challenges of Supervising Independent Contractors (Repeat Session)</li> </ul>
12:30 p.m.	Closing Remarks / Seminar Adjourns

## **New and Existing Products Due Diligence**

### **Scott H. Maestri, Associate Director, FINRA, Dallas District Office**

Scott H. Maestri is the Associate District Director in FINRA's Dallas Office. He began his career with NASD in 1999 as an examiner in the New Orleans District Office. Mr. Maestri was promoted to management in September of 2003 and became responsible for a team of examiners who monitored member firms through cycle and cause investigations, as well as the Membership Application Process and Financial Surveillance. Mr. Maestri was promoted to the Associate District Director position in May of 2010, where his primary responsibility is the review and approval of the district office's major program areas. During the course of his career, Mr. Maestri has been selected for Advanced Management training and successfully obtained the Certified Regulatory and Compliance Professional designation (CRCP) both issued through The Wharton School at the University of Pennsylvania. In addition, Scott received a bachelor's of business administration in finance from The Else School of Management at Millsaps College.

### **Bill Clark, Founder, MicroVentures**

With more than a decade of top level management experience in the credit risk management and financial services industry, Bill Clark brings key strategic focus and critical evaluation skills essential to both the investor and startup business components of MicroVentures. As Risk Manager at an online payment processing company, Mr. Clark's responsibilities included managing risk on the merchant side of the business. His comprehensive approach to the company stems from key experience previously helping manage a billion dollar portfolio of small business accounts as Credit Risk Manager in the Small Business Risk Management Division of a captive financial institution. He holds a bachelor's degree in finance from Michigan State University as well as Series 7, 24, 63 and 79 licenses.

### **Thomas Crook, Examination Manager, FINRA, Dallas District Office**

Tom B. Crook is an examination manager in the FINRA Dallas District Office. He began his career with FINRA in 2000 as an Examiner in the Dallas District Office. Mr. Crook was promoted to examination manager in July 2008. He is a designated FINRA Regulation Specialist in the area of Private Offerings. Prior to joining FINRA in 2000, Mr. Crook worked in both sales and compliance for four regional and national brokers and held his FINOP, General Principal, Options and Municipal Principals licenses as well as the Equity Trader and Investment Advisor designations. Tom holds a bachelor's degree in communications from Brigham Young University.

### **Brian Kovack, President, Kovack Securities, Inc.**

Mr. Brian Kovack is Co-Founder and President of Kovack Securities, Inc., a Fort Lauderdale, Florida-based national full-service independent broker-dealer with approximately 290 registered representatives located throughout the U.S. In February 2006, Mr. Kovack was elected and served on the NASD Board of Governors as a mid-size industry representative and the FINRA Interim Board of Governors. He currently is serving on the District 7 Committee until December 31, 2014, and in 2013 served on the newly formed FINRA Regulatory Advisory Committee. In 2004, Mr. Kovack completed the FINRA Institute at Wharton Program, earning the Certified Regulatory and Compliance Professional (CRCP) designation. Prior to that, Mr. Kovack received a bachelor's degree in finance from the University of Florida, where he also played varsity football earning two Letter and SEC Academic Honor Roll awards. He also has a master of accounting and law degrees, and has been a member of the Florida Bar and American Bar Association.