

FSI FORUM
& September 9-11
CAPITOL HILL DAY
WASHINGTON, D.C.

The Mayflower Hotel, Washington, DC
Conference Program
(as of 8/23/19)

MONDAY, SEPTEMBER 9

9:00 a.m.-6:30 p.m.

Registration Open

Promenade Foyer (Lobby Level)

10:00 a.m. – 12:00 p.m.

FSI Cybersecurity Task Force Meeting (Task Force Members Only; Close to Media)

Senate Room (Lobby Level)

10:00 a.m. – 12:00 p.m.

FSI Investment Advisory Services Council Meeting (IAS Council Members Only; Closed to Media)

Georgia Room (2nd Floor)

12:00 p.m. – 2:00 p.m.

Advancing Women in Leadership Workshop, sponsored by Fidelity Clearing & Custody Solutions®: Expanding Your Knowledge on Diversity and the Impact It Can Make on Business Growth

Chinese Ballroom (Lobby Level)

Join us for the Advancing Women in Leadership Workshop and luncheon, *Expanding Your Knowledge on Diversity and the Impact It Can Make on Business Growth*, sponsored by Fidelity Clearing & Custody Solutions®. Present and future female business leaders will have an opportunity to network, exchange ideas and gain insights from thought leaders on professional development and issues important to women in today's workforce. And men will learn how to be productive allies and colleagues to women working to advance their careers in our industry. There is no cost to attend but an RSVP is needed.

Speakers include:

- Colleen Bell, Senior Vice President, Chief Fiduciary Services Officer, Cambridge Investment Research, Inc.
- April Booth, Chief Operating Officer, TAG Advisors, Cambridge Investment Research, Inc.
- Emily Dickens, Corporate Secretary and Chief of Staff, Office of the President and CEO, Society for Human Resource Management
- Kelly Lannan, Vice President, Young Investors, Fidelity Investments

12:00 – 5:00 p.m.

FSI Board of Directors Meeting (FSI Board Members Only; Closed to Media)

2:00 – 4:00 p.m.

FSI Accounting & Finance Council Meeting (Council Members Only; Closed to Media)

New Jersey (2nd Floor)

2:30 – 4:30 p.m.

Cybersecurity Workshop: How Do You Run a Secure Office? (Cybersecurity/PII Safety) (Session is open to both firm home office employees and FAs)

Senate Room (Lobby Level)

Please join us for an interactive session on keeping your office secure. You will hear real life examples and applicable takeaways to make sure you are on track. We will also discuss regulations and how they can affect your day to day business.

Moderator: Jodi M. Pinedo, Sr. Managing Counsel & Director, Pershing LLC, a BNYM Company

Panelists Include:

- Sam Attias, VP Partnership Development, **workplace_by** OS33
- Allen Eickelberg, VP, Director of Operations, Spire Investment Partners
- Jonathan Klein, Chief Information Security Officer, Broadridge Financial Solutions, Inc.

5:00 – 6:00 p.m.

Opening General Session: FSI Interview with the SEC

Grand Ballroom (Lobby Level)

In an engaging interview format, hear what is happening at the SEC from the General Counsel of the Division of Trading and Markets, Emily Westerberg Russell. With the implementation of Reg BI looming, this session will prove to be highly educational and offer our members the chance to ask their pressing questions to a leader of the SEC.

Co-Presenters Include:

- Dale Brown, President & CEO, Financial Services Institute
- Emily Westerberg Russell, Chief Counsel, Division of Trading and Markets, Securities and Exchange Commission

6:00 p.m. - 6:45 p.m.

Opening Networking Reception in the Exhibit Hall

Promenade Foyer (Lobby Level)

TUESDAY, SEPTEMBER 10

7:30 a.m. - 6:30 p.m.

Registration Open

Promenade Foyer (Lobby Level)

7:30 a.m. - 8:15 a.m.

Networking Breakfast in the Exhibit Hall

Promenade Foyer (Lobby Level)

8:30 a.m. – 9: 30 a.m.

CONCURRENT SESSIONS

Reg BI: Implementation of the Final Rule

East Ballroom (Lobby Level)

The SEC's Regulation Best Interest is here, and it sets a new standard for our industry. This session will take a look at the requirements of the final rule and what it means for your business. The panel will also discuss how to prepare for the rule's implementation.

Moderator: Susan Krawczyk, Partner, Eversheds Sutherland

Panelists Include:

- Elizabeth Hansen, SVP, Chief Compliance Officer, Waddell & Reed, Inc.
- Kevin Miller, EVP & General Counsel, Securities America, Inc.
- Julie Sullivan, SVP, Chief Compliance Officer, The Strategic Financial Alliance, Inc.

Regulators' Impact on Your Business

Chinese Ballroom (Lobby Level)

Between lawmakers, federal agencies, the SEC and FINRA, the developments in Washington, D.C. have a significant impact on your business. But what impact can you have on these decision-makers and the rules and regulations they develop? During this session you will gain an understanding of how FSI works to make sure Capitol Hill and regulators understand your day-to-day business.

Moderator: Colleen Bell, Chief VP, Fiduciary Services, Cambridge Investment Research, Inc.

Panelists Include:

- Sam Johnson, COO, Harman Wealth Management
- Chip Jones, Senior Vice President, FINRA
- Christopher Staley, Assistant General Counsel, North American Securities Administrators Association (NASAA)

FSI Issues - Deep Dive

Senate Room (Lobby Level)

During this roundtable session, we'll take a deeper dive into each of the current issues we'll be discussing during our Capitol Hill appointments, so you will be prepared to meet with your legislators.

Co-Presenters Include:

- David Bellaire, Executive Vice President & General Counsel, Financial Services Institute

- Hanna Y. Laver, Director of Legislative Affairs & Senior Counsel, Financial Services Institute

9:30 – 10:00

Networking Break & Office Check-in in the Exhibit Hall

Promenade Foyer (Lobby Level)

10:00 a.m. – 11:00 a.m.

CONCURRENT SESSIONS

Firm Executive Panel

East Ballroom (Lobby Level)

During this session find out how the most successful firms engage both their home office and financial advisors to become more focused on advocacy issues and become an effective advocate.

Moderator: Jeffrey Rosenthal, President & CEO, Triad Advisors, Inc.

Panelists Include:

- Richard Bryant, CEO, Capital Investment Brokerage
- Seth Miller, SVP, Risk Management & General Counsel, Cambridge Investment Research, Inc.
- Mark Quinn, Director of Regulatory Affairs, Cetera Financial Group

Grassroots 101: How to Be an Effective Citizen Lobbyist

Chinese Ballroom (Lobby Level)

Once FSI Forum & Capitol Hill Day are over, you will not only have a better mastery of the most critical issues facing you and your clients, you will be comfortable advocating in Washington, D.C. and when you're back home and all alone. During this session, hear from a financial advisor who represents you on FINRA's new Financial Advisor Committee, an advisor who has built a strong working relationship with his member of Congress and a state senator who helped us with a fiduciary bill in her state. They will share their keen insights on how advocating works and what successful – or non-successful – advocacy means for you and your business.

Moderator: Dale Brown, President & CEO, Financial Services Institute

Panelists Include:

- Senator Pam Beidle, Senator, Maryland Senate
- Fred Greene, CIMA®, Executive Vice President, Woodforest Financial Services, Inc.
- Steve Horn, Financial Advisor/Owner, Prosperity Financial Group

FSI Issues - Deep Dive

Senate Room (Lobby Level)

During this roundtable session, we'll take a deeper dive into each of the current issues we'll be discussing during our Capitol Hill appointments, so you will be prepared to meet with your legislators.

Co-Presenters Include:

- David Bellaire, Executive Vice President & General Counsel, Financial Services Institute
- Hanna Y. Laver, Director of Legislative Affairs & Senior Counsel, Financial Services Institute

11:00 – 11:15 a.m.

Break

11:15 a.m. – 12:15 p.m.

General Session: Political Landscape Update

Grand Ballroom (Lobby Level)

Mara Liasson is known for being one of the most steadfastly truth-seeking journalists in the nation's capital. For almost 30 years, she has worked with National Public Radio, where her stories are frequently heard on such flagship NPR news magazines as *Morning Edition* and *All Things Considered*.

Liasson provides extensive coverage of politics and policy from Washington, DC – focusing on the White House and Congress – and also reports on political trends beyond the Beltway.

Perceptive and fearless, Liasson gives audiences a behind-the-scenes look at the politics and policy that defines the American political landscape, as well as a glimpse into the decision-making that happens in the halls of Congress, the West Wing, and on K Street.

Speaker:

- Mara Liasson, National Political Commentator for NPR & Fox New Analyst

12:15 p.m. – 2:00 p.m.

Networking Lunch & Office Check-in in the Exhibit Hall

Promenade Foyer (Lobby Level)

12:30 - 1:30 p.m.

FSI Council Meetings (Council Members Only; Closed to Media)

- Compliance Council Meeting
Rhode Island Room (2nd Floor)
- Marketing, Growth & Development Council Meeting
Virginia Room (2nd Floor)
- Operations & Technology Council Meeting
Delaware Board Room (2nd Floor)

2:00 – 4:00 p.m.

Discussions* (Closed to Media)

- Firm CEOs
Senate Room (Lobby Level)

- Firms Executives
East Ballroom (Lobby Level)
- Financial Advisors
Chinese Ballroom (Lobby Level)
- Accounting & Finance
New Jersey Room (2nd Floor)

4:15 – 5:15 p.m.

FSI Interview with FINRA

Grand Ballroom (Lobby Level)

In the three years since Robert Cook became the President and CEO of FINRA, many changes have taken place, both at FINRA and in the industry. Those changes will continue as FINRA will be examining their own existing regulations in light of Regulation Best Interest and continuing their work on FINRA 360. In this general session interview, you'll learn what is happening now and what's coming up from FINRA, how it could affect the industry and your business, and what you need to think about as you prepare for the future.

Co-Presenters Include:

- Dale Brown, President & CEO, Financial Services Institute
- Robert Cook, President & CEO, FINRA

5:15 – 6:45 p.m.

Training & Reception (Closed to Media)

Grand Ballroom (Lobby Level)

Panelists include:

- David Bellaire, Executive Vice President & General Counsel, Financial Services Institute
- Matt Landers, Director of Member Engagement & Political Affairs, Financial Services Institute
- Hanna Y. Laver, Director of Legislative Affairs & Senior Counsel, Financial Services Institute

WEDNESDAY, SEPTEMBER 11

7:00 - 8:00 a.m.

Networking Breakfast (Closed to Media)

8:00 - 8:30 a.m.

Load Buses and Depart for Capitol Hill (Closed to Media)

9:00 a.m. - 4:00 p.m.

Appointments on Capitol Hill (Closed to Media)

** Sponsor and exhibitor personnel are ineligible to attend the discussion meetings with the following exceptions: Sponsors may send one (1) attendee to the Accounting & Finance, Firm Executive and Financial Advisor discussion groups. Ambassador & Premier Sponsors may also send one (1) attendee to the CEO discussion. Discussions are closed to the media.*