

Regional Compliance Outreach Program
New York Regional Office
June 6, 2019
Agenda

Registration/Networking Break (9:00 am – 10:00 am)

Welcome and Opening Remarks (10:00 am – 10:20 am)

Marc P. Berger, Regional Director, New York Regional Office
Anthony W. Crowell, Dean and President, New York Law School

Panel 1: FY2019 Exam Priorities and Initiatives (10:20 am – 10:45 am)

Thomas J. Butler, Associate Regional Director
Maurya Keating, Associate Regional Director
William J. Delmage, Assistant Regional Director

Panel 2: National Exam Program Initiatives Update (10:45 am – 11:15 am)

Thomas J. Butler, Associate Regional Director
Katherine P. Feld, Senior Special Counsel
Azam Riaz, Exam Manager

Panel 3: Enforcement – Asset Management Unit Update (11:15 am – 11:45 am)

Thomas J. Butler, Associate Regional Director
Panayiota K. Bougiamas, Assistant Regional Director
Wendy B. Tepperman, Assistant Regional Director

Panel 4: Q & A Session (11:45 am – 12:30 pm)

William J. Delmage, Assistant Regional Director	Eric Baltuch, Senior Staff Accountant
Merryl Hoffman, Regulatory Counsel	Amita Mehra, Attorney-Advisor
Rachel Lavery, Regulatory Counsel	Kevin Rush, Securities Compliance Examiner

Networking Break (12:00 pm – 12:30 pm)

Panel 5: Division of Investment Management Update (12:30 pm – 1:00 pm)

Maurya Keating, Associate Regional Director
Paul G. Cellupica, Chief Counsel, Division of Investment Management

Panel 6: Digital Assets and Cybersecurity Update/FAQs (1:00 pm – 2:00 pm)

Maurya Keating, Associate Regional Director
Anthony P. Fiduccia, Assistant Regional Director
Daphna Waxman, Special Counsel, Strategic Hub for Innovation and Financial Technology

Closing Remarks

Maurya Keating, Associate Regional Director