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**CCOutreach BD Regional Seminar  
May 13, 2009**

Omni Los Angeles Hotel at California Plaza  
251 S. Olive Street  
Los Angeles, CA

**Registration** (8:30 a.m. – 9:00 a.m.)

**I. Welcome** (9:00 a.m. – 9:15 a.m.)

David Greene, District Director, FINRA Los Angeles District Office  
Rosalind Tyson, Regional Director, SEC Los Angeles Regional Office

**II. Current Regulatory Environment** (9:15 a.m. – 10:15 a.m.)

Staff from the SEC and FINRA and an industry CCO address the impact of regulatory and compliance issues that have emerged in the current financial environment. The discussion includes current areas of regulatory concern and examination priorities as well as new products and industry trends.

Colleen Diles, Examination Manager, FINRA Los Angeles District Office (*moderator*)

Erik Barker, Branch Chief, SEC Los Angeles Regional Office

S. Kendrick Dunn, Assistant Vice President, Chief Compliance Officer, Pacific Select Distributors, Inc.

Christian Zrull, District Director, FINRA San Francisco District Office

**Break** (10:15 a.m. – 10:35 a.m.)

**III. Enterprise-Wide Supervision** (10:35 a.m. – 11:30 a.m.)

This panel, consisting of staff from the SEC, FINRA and an industry CCO, focuses on the supervisory structures, procedures and systems as they relate to the firm's overall business activities. Discussion highlights outside business activities (what is permissible and not permissible outside business activities by reps), supervision of electronic communications, and business continuity plans.

Cindy Wong, Assistant Regional Director, SEC Los Angeles Regional Office (*moderator*)

Arash Etemad, Senior Examiner, FINRA Los Angeles District Office

Peter Vonk, Executive Vice President, Chief Compliance Officer, CUSO Financial Services L.P.

Jon Wieman, Attorney-Examiner, SEC Los Angeles Regional Office



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**Break** (11:30 a.m. – 11:50 a.m.)

**IV. Electronic Recordkeeping and Regulation S-P** (11:50 a.m. – 12:45 p.m.)

Panelists discuss the benefits, challenges and compliance considerations associated with technology (*e.g.*, email, instant messaging and jump drives). Staff from the SEC and FINRA and an industry professional also address topics such as electronic supervision and email monitoring, as well as new developments concerning customer protection in relation to Regulation S-P.

Lusana Gee, Examination Manager, FINRA Los Angeles District Office (*moderator*)

John Meurer, Associate Principal Examiner, FINRA Los Angeles District Office

Neal Nakagiri, President, Chief Executive Officer and Chief Compliance Officer, NPB Financial Group, LLC

Jon Self, Staff Accountant, SEC Los Angeles Regional Office

**V. Closing Remarks** (12:45 p.m. – 1:00 p.m.)

David Greene, District Director, FINRA Los Angeles District Office

Rosalind Tyson, Regional Director, SEC Los Angeles Regional Office