

NEW YORK REGIONAL OFFICE

2023 Compliance Outreach Seminar

Tuesday, December 5, 2023

AGENDA

9:00 – 9:15 a.m.

Welcome and Opening Remarks

- Antonia Apps, Regional Director, New York Regional Office
- Tom Butler, Associate Director, NYRO Examination Program
- Maurya Keating, Associate Director, NYRO Examination Program

9:20 – 9:50 a.m.

Exam Priorities

- Jennifer Duggins, Assistant Director and Co-Head of the Private Funds Unit, SEC's Division of Examinations
- Cynthia Chin, Securities Compliance Examiner (IA/IC), NYRO Examination Program
- Xiomarisy Munoz, Securities Compliance Examiner (IA/IC), NYRO Examination Program

10:00 – 10:30 a.m.

Common Deficiencies

- Barry Simmons, Regulatory Counsel, NYRO Examination Program
- Majid Mahmood, Assistant Regional Director (IA/IC), NYRO Examination Program
- Amritpal Sidhu, Compliance Examiner (IA/IC), NYRO Examination Program

10:40 – 11:25 a.m.

Hot Topics

- Chris Mulligan, Private Funds Senior Advisor (IA/IC), Division of Examinations
- Katherine Feld, Senior Special Counsel for IC, NYRO Examination Program
- Frank Sensenbrenner, Senior Specialized Examiner, Crypto and Digital Assets, Division of Examinations
- Alessandra Hagemann, Senior Securities Compliance Examiner (IA/IC), NYRO Examination Program

11:35 – 12:05 a.m.

Demystifying the Exam Process

- Christina Camardo, Senior Staff Accountant (IA/IC), NYRO Examination Program
- Kristina Allen, Securities Compliance Examiner (IA/IC), NYRO Examination Program
- Margaret Pottanat, Staff Accountant (IA/IC), NYRO Examination Program
- Michael O'Donnell, Strategic Risk Coordinator (IA/IC), NYRO Examination Program

2023 Compliance Outreach Seminar

NEW YORK REGIONAL OFFICE

12:15 – 12:45 p.m.

Updates from the Other Divisions

- Judy Weinstock, Assistant Regional Director, NYRO Enforcement Division
- Lee Greenwood, Assistant Regional Director, Asset Management Unit, NYRO Enforcement Division
- Julia Gilmer, Senior Special Counsel, IM Liaison Office, Office of Chief Counsel in the Division of Investment Management

12:55 – 1:25 p.m.

Reg BI/Dual Registrants

- David Jaffe, Senior Special Counsel, NYRO BDX Program
- Nicole McCafferty, Vice President, FINRA's Examination Program
- Michael O'Donnell, Strategic Risk Coordinator (IA/IC), NYRO Examination Program
- Rachel Lavery, Senior Regulatory Counsel (IA/IC), NYRO Examination Program

Closing Remarks

- Tom Butler, Associate Director, NYRO Examination Program
- Maurya Keating, Associate Director, NYRO Examination Program

Lunch Break

2:30 p.m.

Workshop for Newly-Registered Advisers

- Kathleen Furey, Regulatory Counsel (IA/IC), NYRO Examination Program
- Meryll Hoffman, Senior Regulatory Counsel (IA/IC), NYRO Examination Program
- Krysia-Jo Cole, Securities Compliance Examiner (IA/IC), NYRO Examination Program