

SEC Compliance Outreach Program Agenda
Philadelphia Regional Office
May 21, 2024

Welcome and Opening Remarks (9:00am – 9:15am)

Nicholas Grippo, Regional Director

Office Overview & Exam Priorities (9:20am – 10:05am)

Andrea Dittert, Exam Manager, IA/IC Program
Michelle Heid, Exam Manager, IA/IC Program
Cesar Davis, Staff Accountant, BDX Program

What to Expect on an Exam (10:10am – 10:55am)

Kelli Byrne, Exam Manager, IA/IC Program
Mike Makoul, Exam Manager, IA/IC Program
David Spencer, Exam Manager, IA/IC Program

Cybersecurity (11:00am – 11:45am)

Matt Guthier, Branch Chief, Technology Controls Program
Salvatore Montemarano, Senior Specialized Examiner, Technology Controls Program

Common Examination Findings (11:50am – 12:35pm)

Aidan Busch, Exam Manager, IA/IC Program
Peggy Jackson, Exam Manager IA/IC Program
Ly Nguyen, Exam Manager, IA/IC Program
Edward Flaherty, Exam Manager, BDX Program

Lunch (12:35pm – 1:45pm)

Breakout Session (1:45pm – 2:45pm)

- *Marketing Rule – Room 1*
 - Mark Dowdell, Assistant Regional Director, IA/IC Program
 - Richard Stewart, Exam Manager, IA/IC Program
 - Erin Harrison, Attorney Adviser, IA/IC Program
- *Broker-Dealer Hot Topics – Room 2*
 - Wilfred Campbell, Exam Manager, BDX Program
 - William McIntyre, Staff Accountant, BDX Program

Q&A Panel (2:50pm – 3:20pm)

Mark Dowdell, Assistant Regional Director, IA/IC Program (Moderator)
Diane Hagy, Assistant Regional Director, BDX Program
Steve Dittert, Assistant Regional Director, IA/IC Program
Frank Thomas, Assistant Regional Director, IA/IC Program
Eric Whitman Assistant Regional Director, IA/IC Program

Closing Remarks (3:25pm – 3:35pm)

Joy G. Thompson, Associate Regional Director