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## ***Compliance Outreach Program for Broker Dealers***

United Federation of Teachers  
52 Broadway  
New York, New York  
April 7, 2016

### **Agenda**

**Registration and Continental Breakfast** (8:30 am – 9:30 am)

**Welcome and Opening Remarks** (9:30 am – 9:45 am)

Michael Solomon, *Senior Vice President, New York Regional Director, FINRA*

**Panel 1: Recent Developments with Conflicts, Culture & Compliance** (9:45 am – 11:00 am)

Regulators and industry panelists will discuss potential conflicts of interest that broker dealers must disclose and/or mitigate as well as the importance of a firm's culture of compliance. The panel will also discuss recent examination findings and industry practices.

Robert Sollazzo, *Associate Regional Director, Broker Dealer Examination Program, New York Regional Office, SEC (moderator)*

Mark Bulger, *Surveillance Director, New York District Office, FINRA*

Steven Jafarzadeh, *Managing Director, Chief Compliance Officer, Partner, Stonehaven LLC*

Lauri Scoran, *Chief Compliance Officer, Jefferies LLC*

**Break** (11:00 am – 11:15 am)

**Panel 2: Hot Topics – Sales Practices** (11:15 am – 12:30 pm)

Regulators and industry panelists will discuss current hot topics related to sales practices, including a focus on senior investors, microcap securities, branch office activities and supervision.

William St. Louis, *District Director, New York and Long Island District Offices, FINRA (moderator)*

Richard Heaphy, *Assistant Regional Director, Broker-Dealer Program, New York Regional Office, SEC*

Wendy Lanton, *Chief Operations/Compliance Officer, Lantern Investments and Lantern Wealth Advisors*

Edward G. Sullivan, *Executive Director, Head of Wealth Management Client Advisor Group/Compliance, UBS Financial Services Inc.*

**Closing Remarks** (12:30 pm – 12:45 pm)

Andrew Calamari, *Regional Director, New York Regional Office, SEC*