



***Compliance Outreach Program
for Broker-Dealers
Chicago, Illinois
June 4, 2014***

Agenda

Registration (8:00am – 9:00am)

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

David Glockner, *Regional Director, Chicago Regional Office, SEC*

Panel 1: Cybersecurity (9:15 am -10:15 am)

David Glockner, *Regional Director, Chicago Regional Office, SEC (Moderator)*
Jim Enstrom, *Managing Director, Chicago Board Options Exchange*
David Kelley, *Surveillance Director, Kansas City District Office, FINRA*
Kevin Novak, *Chief Information Security Officer, Northern Trust*

Panel 2: Supervisory Responsibilities of Legal and Compliance Personnel (10:15 am – 11:00 am)

John Birkenheier, *Supervisory Trial Counsel, Chicago Regional Office, SEC (Moderator)*
Trish Centeno, *Director of Compliance- Products and Advisory Services, Wells Fargo Advisors, LLC*
Jeffrey Levine, *Chief Compliance Officer, Mesirow Financial, Inc.*
William Woodward, *Chief Compliance Officer, Wunderlich Securities, Inc.*

Networking Break (11:00 am – 11:15am)

Panel 3: Complex Products (11:15 am – 12:00 pm)

Paul Mensheha, *Regulatory Counsel, Chicago Regional Office, SEC (Moderator)*
Dan Gregus, *Acting Associate Regional Director, Broker-Dealer Program, Chicago Regional Office, SEC*
Jennifer Luginbill, *Associate District Director, Kansas City District Office, FINRA*
Dr. Craig McCann, *Principal, Securities Litigation and Consulting Group, Inc.*

Panel 4: Senior Investor Issues (12:00 pm – 12:45 pm)

Laura Trotz, *Associate Director, Chicago District Office, FINRA (Moderator)*
Dan Fisher, *Branch Chief, Office of Chief Counsel, Division of Trading and Markets, SEC*
Ron Long, *Senior Vice President, Director of Regulatory Affairs, Wells Fargo Advisors, LLC*
Lori Schock, *Director, Office of Investor Education and Advocacy, SEC*