



**NSCP Regulatory Interchange
Federal Reserve Bank of Chicago
May 1, 2019
AGENDA**

8:30 AM – 9:00 AM Registration & Continental Breakfast

9:00 AM – 9:50 AM Hot Topics Discussions

BREAKOUT 1: (BDs)

BREAKOUT 2: (PFs/IAs/ICs)

9:50 AM – 10:00 AM Break

10:00 AM – 10:50 AM Dialogue with the Regulators

BREAKOUT 1: FINRA (BDs)

BREAKOUT 2: SEC & NFA (PFs/IAs/ICs)

10:50 AM – 11:00 AM Break

11:00 AM – 12:00 PM Sessions Resume with FINRA, SEC & NFA