



**NSCP Northeast Regulatory Interchange – Virtual
December 3, 2020
AGENDA**

All times are in Eastern Standard Time

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|------------------------------|--|
| 1:00 PM – 2:00 PM EST | SEC Discussion panel
<i>Brad Bartels</i> , Special Counsel Office of Chief Counsel, Division of Trading and Markets
<i>Paul Levenson</i> , Director, Boston Regional Office |
| 2:00 PM – 2:15 PM EST | Break |
| 2:15 PM – 3:15 PM EST | FINRA Discussion panel
<i>Elizabeth Page</i> , Vice President and Single Point of Accountability for Retail Firms
<i>Joseph Sheirer</i> , Vice President, Member Supervision Examination Program |
| 3:15 PM – 3:30 PM EST | Break |
| 3:30 PM – 4:30 PM EST | DOL Discussion panel
<i>Jeffrey Chaing</i> , Financial Analyst, Boston Regional Office
<i>Danielle D’Abbraccio</i> , Supervisory Benefits Advisor, NY Regional Office
<i>Nichelle Langone</i> , Supervisory Investigator, NY Regional Office |

Moderators:

Norm Ashkenas, CCO at Robinhood Financial
Patrick Hayes, Senior Counsel at Calfee Halter & Griswold LLP