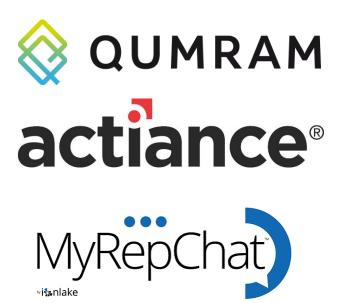


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Thursday, November 16, 2017

Breakfast and Check in Start at 8:15am

Chairperson's Welcome & Opening Remarks

Sheryl Brown, Social Media Development, Sigma Financial Planning Corporation

Compliance and Marketing Need to Be on the Same Page

The social media compliance and marketing staffs have traditionally been at cross purposes and the tension can lead to self-sabotage within a firm. As social media becomes a key factor in a firm's success, the compliance and marketing groups will be compelled to develop a more symbiotic relationship. Getting there may be difficult and may require buy-in from the executive level.

This session will cover:

The pitfalls of an ongoing contentious relationship between compliance and marketing; The training that marketing and compliance staff need to find common ground; How social media strategies can be efficiently created once compliance and marketing are working together;

And the smoother execution of strategies once cooperation is established.

Moderator: Sheryl Brown, Social Media Development, Sigma Financial Planning Corporation Panelists: Patrick Barnert, CEO, Qumram

Rick Apicella, Executive Director & Attorney, Legal & Compliance, Morgan Stanley Kitty Parry, Founder and CEO, Social Media Compliance

Track 1 Compliance

Passing Time

Track 2 Marketing

10:05am

10:00am

9:00am

9:15am

Stopping Rogue Marketers

Social media has become an expected part of the landscape for financial services and can often be a key factor in attracting and retaining clients. However, social media compliance requires advisors and brokerdealers to follow a process before moving ahead with

a marketing campaign. Sometimes marketers/advisors get frustrated and decide not to abide with compliance rules and they put the firm at risk via social media. The challenge for those in social media compliance is to spot signs that unauthorized activity is about to get underway. At the very least, rogue events have to be stopped as soon as possible. This session will cover:

- How to streamline the compliance process so that it isn't frustrating for market participants and that permissions are granted quickly;
- Gathering and analyzing the data needed to spot subtle trends that point to hidden problems;
- Training market participants in how to stay creative within the lines of compliance; And developing effective shutdowns of rogue marketing efforts.

Moderator: Ken Goodall, 2nd VP, Guardian Life Insurance Company of America, SVP, CCO, Park Avenue Securities Panelists: Helene Glotzer, Chief Compliance Officer, Bridgewater Associates, LP Craig J. Peretz, COO, CFO, CCO, Sierra Global

Management

The Next Chapter for Social Media Marketing

Social media usage among financial services firms has been evolving rapidly. Securities firms have signed on for data-centered strategies that are helping them

grow the business. If mastered, social media marketing can help financial services firms retain current clients by keeping them engaged. A key part of the next chapter for social media marketing is its inclusion with a firm's broader marketing efforts. Externally, advisors and broker-dealers are being challenged to integrate social media with other, related aspects of the business.

This session will encompass:

- The bottom-line benefits of improving the interactions between compliance and marketing staffs;
- Novel ways to leverage data via social media to grow the practice;
- Optimizing social media profiles and online information;
- Better social media coordination among third-party business partners; And the best practices for retaining clients via social media.

Moderator: Sheryl Brown, Social Media Development, Sigma Financial Planning Corporation

Panelists: Lisa Natalicchio, Global Head of Internal Communications and Social Business, **State Street** Amy Sitnick, Vice President, Content Marketing, **PNC**

Bank

Courtney Fischbach, VP, Social Media, Legg N C 1

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Networking Break with Exhibitors

11:20am

10:50am

Taking Text Messaging Seriously

Text messages, including business cards with mobile telephone numbers and social media links, are a popular form of electronic communication that could cause problems even though they're generally under the compliance radar. The situation can become more complicated as cutting-edge

platforms such as Whatsapp, the Kik messaging app, FaceBook messenger and WeChat for text, voice and instant messaging are growing in popularity. Despite the fact that these systems facilitate highly unregulated communication, clients may be insisting that their advisors and others use one or more of these platforms for key communications

about investing. In addition, firms that have "bring your own device" (BYOD) policies can also invite messaging woes via uncontrolled SMS texts via smartphones. If firms blatantly abuse or neglect this channel of communication, they may find themselves facing the next big enforcement action. This session will investigate:

- Whether text messages for marketing should be retained, reviewed and supervised;
- The importance of firms revisiting the customer relationship management (CRM) capabilities that can help govern texting;
- What incentives vendors need in order to offer compliance support and protection for texting;
- The problems inherent in a technology that is businessto-consumer and not business-to-business;
- The blurred lines between personal and professional communication; And whether a ban on business-related texting is feasible.

Moderator: Ken Goodall, 2nd VP, Guardian Life Insurance Company of America, SVP, CCO, Park Avenue Securities Panelists: Marla Crawford, Vice President, Associate General Counsel Legal and Regulatory Proceedings, Goldman Sachs Marc Gilman, Executive Director – Enterprise Legal Department, Morgan Stanley Scott Weinstein, Vice President in the Corporate Compliance Department , New York Life Derrick Girard, CEO, ionlake, MyRepChat

Getting the Content to the Right People

Financial services firms have found that social media platforms are great for sending out relevant news, videos, blog postings, research, thought leadership pieces, case studies and traditional white papers. Social media can also be used to poll clients and for building the brand. Investors, prospects and business partners are demanding investment advice and commentary and business-oriented social media sites and websites for securities firms are working hard to provide relevant content.

This session will provide insight on: How to find the best audience for a firm's content via demographics and other aspects How to refine the content so that it will be compelling for current and potential clients; Transforming the interest in content into investment opportunities;

And how frequently should content be updated and distributed to clients and the public.

Moderator: Anthony Sicoli, Director, Head of Corporate Communications, Pershing LLC Panelists: Leeor Sillman, Director, Client Relations & Marketing, Epoch Investment Partners

M. Owen Donley III, Chief Counsel, Office of Investor Education and Advocacy, **United States** Securities and Exchange Commission Adam Sherman, Social Media Director, New York Life

12:05pm

2:10pm

12:40pm

Passing Time

Enabling Governance over Social Communications Presented by Robert Cruz, Senior Director of Information Governance & eDiscovery, Actiance

Lunch

an III event

Responding to the Cutting-Edge of Social Media

Not that long ago, a significant chunk of financial services firms banned social media outright. This situation, however, has evolved to the point that firms are aggressively embracing social media. In fact, they are scrambling to make the most of the latest in emerging social media sites such as Instagram and Snapchat. Firms are also considering how to

respond to the "chatbots," or automated online assistants, that are popping up via social media sites. Financial institutions need to formulate ways to optimize this new channel between themselves and their customers. As social media continues to evolve, the effort to capture, review and retain postings and data on cutting-edge sites is becoming a major challenge. This sometimes creates tension between social media marketers and compliance. In addition, some well-established social media sites are making major user interface and system changes that are complicating the

gathering and storage operations that facilitate compliance. At the same time, firms have to coordinate with business partners to make certain that their social media promotion and compliance programs are in sync.

The session will delve into:

How to stay on top of ever-shifting compliance and use that as a positive to help with marketing;

State-of-the-art information-gathering needed to meet client needs and compliance strategies;

Maintaining the delicate balance between marketing and compliance teams as social media lurches forward; And staying aware of the real punishment that the regulators can impose upon firms that have inadequate systems.

Moderator: Karen L. Garcia, Chief Operating Officer, Chief Compliance Officer, First Ascent Asset Management Panelists: Mariano A. Agmi, Associate Director, Compliance, Risk Mgmt Group, Macquarie Group Raj Dave, Head of Surveillance, Barclays Marc Gilman, Executive Director – Enterprise Legal Department, Morgan Stanley Amy Watson, Managing Director, Goldman Sachs

Making the Whole Firm Social Media Literate (Or Better)

Given the ubiquity of social media and its impacts upon financial markets, it makes sense for people at all levels within a firm to become social media literate or better. Simply posting complianceapproved content and waiting for the money to roll in is not going to work. Firms have to be unrelenting in building a network of social media

connections externally. This will include more direct connections with clients and a deeper understanding of their needs. In addition, staff across the enterprise should be activated to be aware of the firm's social media push and that of

the competition.

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This session will explore:

How closely should financial advisors work with broker-dealers and other market participants on social media initiatives;

The best way to involve executives in social media forays;

Whether there should be an editing layer before representatives of the firm interact with social media;

And how to walk back a controversial social media posting;

Moderator: Adam Sherman, Social Media Director, New York Life

Panelists: Michael Maiello, CAIA, Managing Director and Co-Head of Marketing and Investor Relations, Cowen Investment Management Leeor Sillman, Director, Client Relations & Marketing, Epoch Investment Partners Lisa Natalicchio, Global Head of Internal Communications and Social Business, State Stree

Passing Time

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1:40pm





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U.S. regulators are in a state of flux with the new Trump administration, which has had second thoughts about the Department of Labor's fiduciary rule for financial advisors. Yet the Financial Industry Regulatory Authority (FINRA) and the SEC have been keeping an eye on social media activity and providing guidance, enforcing the rules and seeking punishment on several fronts. For instance, the regulators have pushed financial services firms to bolster their cyber-security programs via exams on the subject (in addition to other tests). FINRA and SEC officials want firms to be prepared for all the risks posed by cyber-attacks. If that weren't enough, the SEC also has amended Form ADV and the Advisers Act books and records rule so that firms must do additional reporting upon their social media activities.

The session will focus on:

A look ahead to the next steps for regulators overseeing social media compliance among financial services firms;

The top cybersecurity reforms that will protect the firm and investors;

A review of the social media impacts of the revamped Form ADV and related books and records requirements upon financial services firms;

The best ways to work with the regulators on SMAC issues;

How to survive an audit by regulators;

And how to keep an eye on third-party partners and their cybersecurity awareness.

Moderator: Ken Goodall, 2nd VP, Guardian Life Insurance Company of America, SVP, CCO, Park Avenue **Securities**

> Panelists: Terri Lawler, VP, Chief Security Officer, Loomis & Sayles James O'Shea, Head of Reeingineering, RBC Capital Markets Kevin Stein, Legal and Compliance Counsel, BNP Paribas

> > Networking Break with Exhibitors

When Social Media Plays with Other Technologies

Financial services firms have a growing number of app and IT options available to them to expand the reach of the technology underlying social media platforms. Social media platforms are opening up and letting market participants extend social media technologies via their application programming interfaces (APIs). These tools can help firms get a better understanding of the results of their campaigns, the activity of clients, reactions to ads and why clients ultimately signed up or didn't. In addition, social media compliance providers are embracing cutting-edge artificial intelligence and machine-learning IT to sift through and analyze interactions for suspicious trends.

This session will feature:

Updates on new IT areas that are a good match for social media;

Weighing the pros and cons of marrying the latest app to social media;

How to vet the latest technology via compliance;

Setting up ways to quantify how new technologies may or may not help;

And how to respond to clients demanding the latest IT innovation.

Moderator: Chad Elson, Chief Operating Officer, Crevalle Capital Management Panelists: Elliot Noma, Ph.D., Managing Director, Garrett Asset Management Birdia Chambers, Director, Social Business, Texting, and Communications Distribution for Prudential Advisors, Prudential Financial

4:30pm

Chairperson's Closing Remarks

Sheryl Brown, Social Media Development, Sigma Financial Planning Corporation



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