

11.16.17 NEW YORK, NY

# S M A C

SOCIAL MEDIA & COMPLIANCE  
IN FINANCIAL SERVICES



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# SMAC

SOCIAL MEDIA & COMPLIANCE IN FINANCIAL SERVICES

an **FTI** event



**Thursday, November 16, 2017**  
Breakfast and Check in Start at 8:15am

9:00am

### Chairperson's Welcome & Opening Remarks

*Sheryl Brown, Social Media Development, Sigma Financial Planning Corporation*

9:15am

### 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*

10:00am

Passing Time

### Track 1 Compliance

### Track 2 Marketing

10:05am

### 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 broker-dealers 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 Mason*

*Global Asset Management*









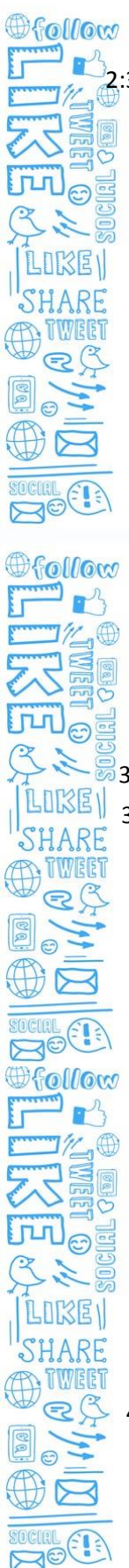


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2:30pm

## Scoping Out the Regulatory Landscape for SMAC

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, 2<sup>nd</sup> 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 Reengineering, RBC Capital Markets*

*Kevin Stein, Legal and Compliance Counsel, BNP Paribas*

3:20pm

## Networking Break with Exhibitors

3:50pm

## 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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