



# C&L Society Denver Regional Seminar

JULY 26 | CHARLES SCHWAB | LONE TREE, CO



## PROGRAM

Thursday  
July 26, 2018

8:00AM – 5:00PM

### Registration Desk Hours

8:00AM – 9:00AM

### Networking Breakfast

9:00AM – 9:05AM

### Welcome & Opening Remarks

#### SPEAKER



**Barbara Armeli**  
Chief Compliance Officer  
[Charles Schwab & Co., Inc](#)  
[Biography](#)

9:05AM – 9:45AM

### Fireside Chat

#### SPEAKERS



**Bari M. Havlik**  
Executive Vice President,  
Member Supervision  
[FINRA](#)



**Ira D. Hammerman**  
Executive Vice President &  
General Counsel  
[SIFMA](#)

9:45AM – 11:00AM

## Regulatory and Litigation Update

### MODERATOR



**Mai Klaassen**

VP, Associate General Counsel

[Charles Schwab & Co., Inc](#)

[Biography](#)

### PANELISTS



**Jeff Coverdell**

Senior Vice President and  
Managing Counsel

[Wells Fargo Advisors](#)

[Biography](#)



**Kurt L. Gottschall**

Associate Regional Director for  
Enforcement

[U.S. Securities and Exchange  
Commission](#)

[Biography](#)



**Donald Lopez**

Senior Vice President and  
Regional Director

[FINRA](#)

[Biography](#)



**David A. Zisser**

Shareholder

[Jones & Keller](#)

[Biography](#)

11:00AM – 11:20AM

## Networking Break

11:20AM – 12:20PM

## Behavioral Science and Conduct Risk

### MODERATOR



**Greg Ruppert**

Bank Secrecy Act Officer, Senior Vice President, Corporate Risk Management

[Charles Schwab & Co., Inc.](#)

[Biography](#)

### PANELISTS



**Carlo V. di Florio**

Chief Risk Officer & Head of Strategy

[FINRA](#)

[Biography](#)



**Henry Engler**

Senior Editor, Regulatory Intelligence

[Thomson Reuters](#)

[Biography](#)



**Chris Favo**

Assistant General Counsel and Director of Investigations

[3M](#)

[Biography](#)



**Christos Tsamadias**

Managing Director, Head of Wealth Management US Audit

[UBS Wealth Management](#)

[Biography](#)

12:20PM – 1:20PM

## Networking Luncheon

1:20PM – 2:35PM

## SEC Best Interest Standard

### MODERATOR



**Kevin Carroll**  
Managing Director and Associate  
General Counsel  
[SIFMA](#)  
[Biography](#)

### PANELISTS



**Helen Barnhill**  
Associate General Counsel  
[TIAA](#)  
[Biography](#)



**Lourdes Gonzalez**  
Assistant Chief Counsel – Sales  
Practices, Division of Trading and  
Markets  
[U.S. Securities and Exchange  
Commission](#)  
[Biography](#)



**Robert Innes**  
Vice President and Associate  
General Counsel  
[Charles Schwab & Co., Inc.](#)  
[Biography](#)



**Robert McCarthy**  
Senior Vice President & Director  
of Regulatory Policy  
[Wells Fargo Advisors](#)  
[Biography](#)

2:35PM – 2:55PM

## Networking Break

2:55PM – 3:55PM

## Investment Adviser Considerations for Dual Registrants

### MODERATOR



**Tara Gilchrist**  
Senior Vice President  
[LPL Financial LLC](#)  
[Biography](#)

### PANELISTS



**Gabriel Ayala**  
Managing Director,  
Investment Advisory  
Compliance  
[Charles Schwab & Co., Inc](#)  
[Biography](#)



**Jodee Brubaker-Rogen**  
Chief Compliance Officer  
[Geneos Wealth Management, Inc.](#)  
[Biography](#)



**Jennifer Klass**  
Partner  
[Morgan, Lewis & Bockius, LLP](#)  
[Biography](#)



**David Swafford**  
Asset Management  
Compliance  
[Fidelity Investments](#)  
[Biography](#)

3:55PM – 4:00PM

## Closing Remarks

### SPEAKER



**David M. Williams**  
Chief Compliance Officer,  
Retail Compliance & Senior  
Vice President  
[Wells Fargo Advisors](#)  
[Biography](#)

4:00PM – 5:00PM

## Networking Reception