



SOCIAL MEDIA & DIGITAL MARKETING SEMINAR

FEB 21, 2019

THE SCHWAB CONFERENCE CENTER
SAN FRANCISCO, CA

Compliance Questions and Challenges

Panelists:

- Thomas M. Selman – EVP, Regulatory Policy, FINRA
- Stephen Bard – SVP, Wells Fargo Advisors
- Grace Ang – Exec. Director & Senior Legal Counsel, UBS AG
- Deep Kingra – Senior Client Success Manager, Hearsay Systems

Moderator:

- W. Hardy Callcott – Partner, Sidley Austin LLP

Compliance Questions and Challenges

Agenda:

- Recent SEC Regulatory Developments
- Recent FINRA Regulatory Developments
- Enforcement Cases on Communications Supervision
- Trends in Social Media Adoption and Supervision
- RegTech Developments and Integrating Social Media and Other Types of Supervision
- Artificial Intelligence in Communications Oversight

National Exam Program Risk Alert

Office of Compliance Inspections and Examinations

Pub 12-18

Key takeaway: OCIE encourages advisers to review their risks, practices, policies and procedures regarding electronic messaging and to consider any improvements to their compliance programs that would help them comply with applicable regulatory requirements

- Plus
 - All Digital
 - Retention and Supervision
 - Spoiler Alert

@Mentions

- E-Communications **sent** away from the Firm – InBox / InMail
- E-Communications **received** away from a Firm mechanism
- BYOD
- Social Media Program
- Training and Attestation
- Big Brother
- Blocking and tackling the Web
- Cyber Security
- Self-Reporting

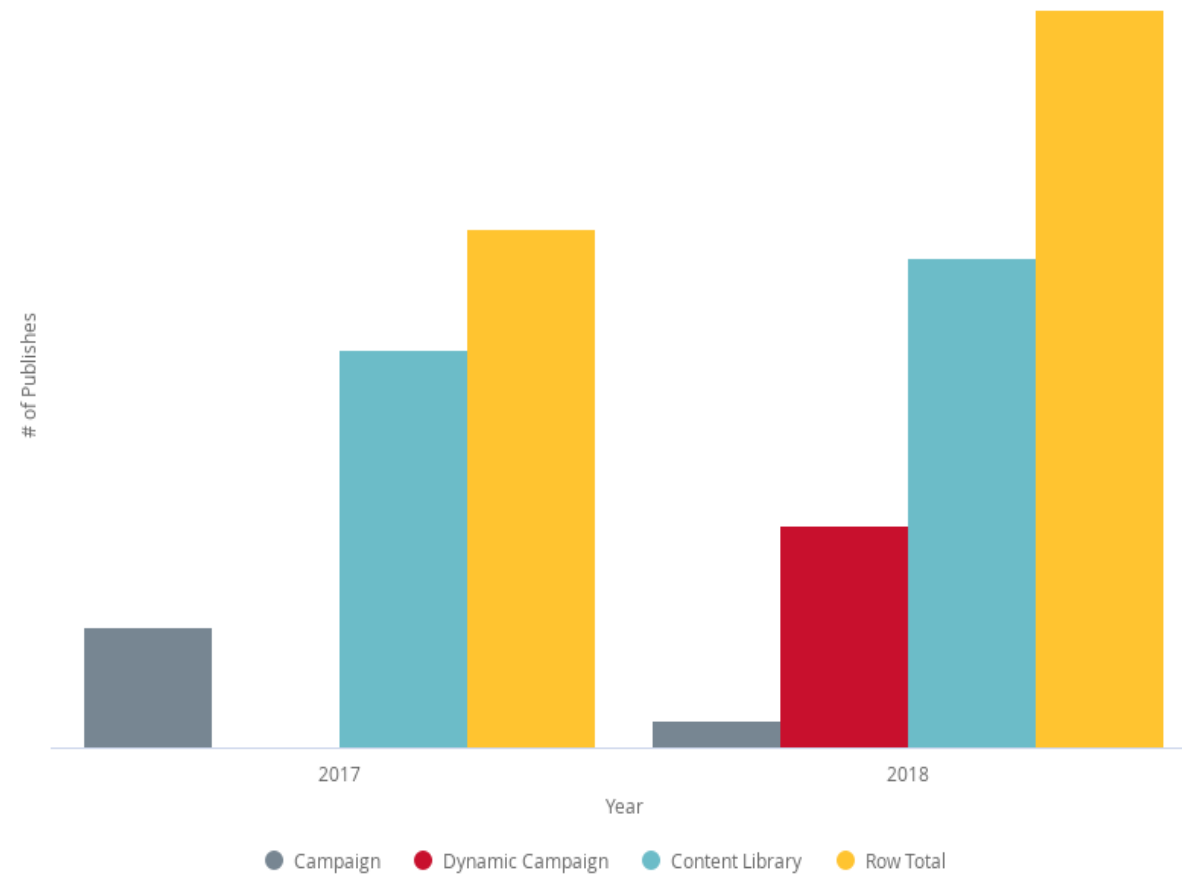
Next Steps

- **Review**
 - **Revise**
 - **Reeducate**

Hearsay Systems Social Trends

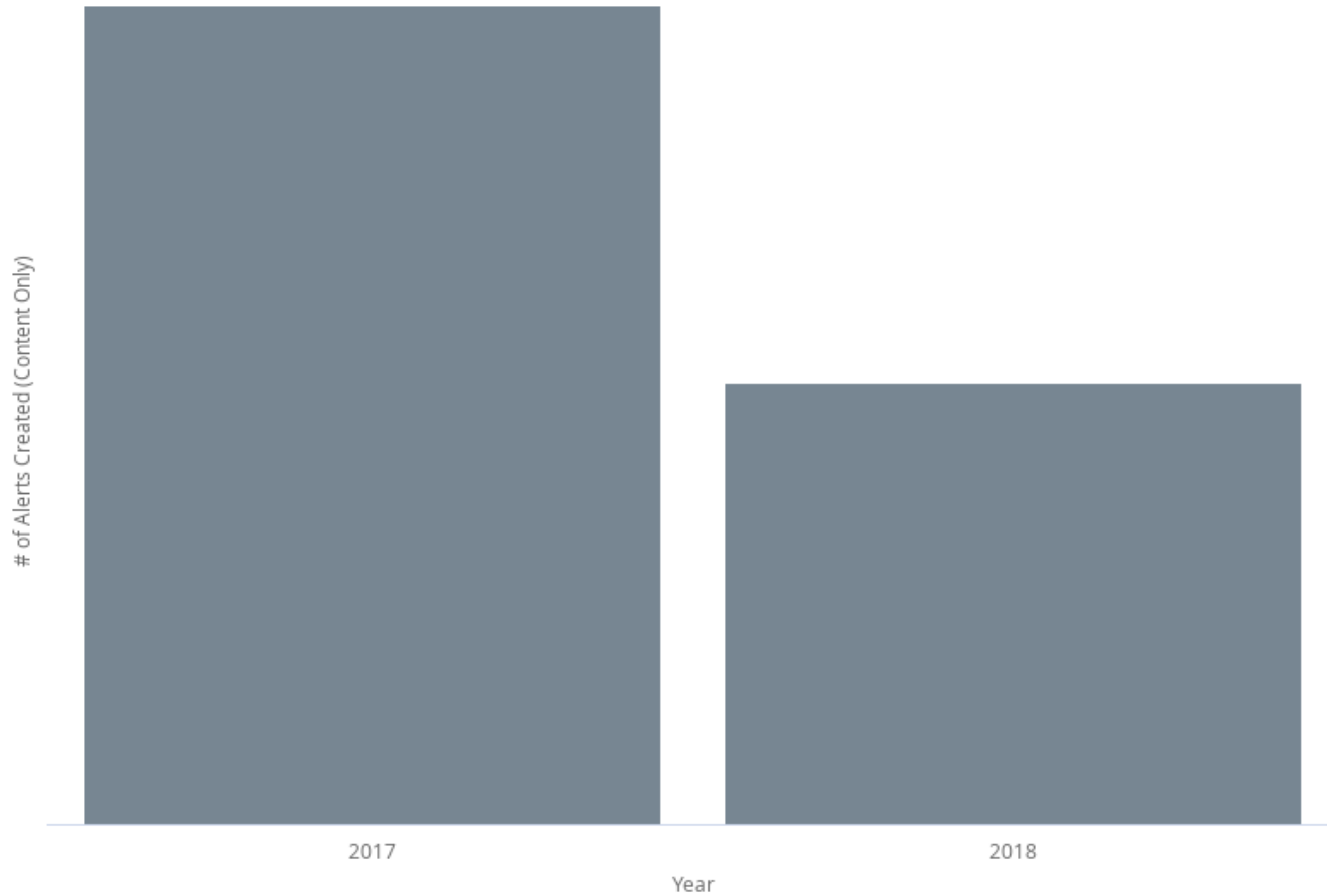
- **2017:** Focus on building content library
- **2018:** Shift to Automation of content publishing
- **2019:** Integrations with critical business tools to drive efficiencies in publishing.

Hearsay Systems Social Trends- Publishing



- 52% increase in Automated content published 2017 vs 2018
- 29% increase in total publishes from 17 vs. 22 (Campaigns + Library)

Hearsay Systems Social Trends- Alerting



- 46% decrease in alerts created for content posts 2017 vs. 2018