

A Roundtable Discussion for Broker-Dealers

Presented by:



STRENGTH THROUGH COOPERATION: HOW THE FINOP CAN CONTRIBUTE TO COMPLIANCE

When:

Tuesday, February 6, 2018

Time:

7:30AM – 11:00AM

Where:

Becker & Poliakoff Law Firm
45 Broadway, 17th Floor
New York, New York 10006

Tuition:

Cost is \$75. Fee includes refreshments, networking and all educational content.

Registration:

☛ etouches.com/BDRoundtable

☎ 800-800-3204

Sponsor:



About:

Communication is a key element within any firm environment. That is particularly evident among and between FINOPs and Senior Management, including the CCO. Leveraging the collective knowledge of these professionals is essential to making informed, intelligent decisions and avoiding unnecessary problems.

Join our panel discussion where we will bring experienced FINOPs and CCOs together to discuss operational and financial related activities and considerations that management, the CCO and FINOP face daily.

Panelists:

- Phil Dawicki, Vice President, NCS Regulatory Compliance
- Stephen Murphy, Vice President, NCS Regulatory Compliance
- Robert Campbell, Senior Consultant, NCS Regulatory Compliance
- Thomas Hopkins Senior Consultant, NCS Regulatory Compliance
- Richard Mattera, Senior Consultant, NCS Regulatory Compliance