

## **Annual Securities Symposium – Wednesday, November 11, 2015**

### **Program Outline:**

- **12:45 – 1:00 p.m.** | Opening Remarks with Jennifer Davis (Greensfelder, Hemker & Gale, P.C.)
- **1:00 – 1:30 p.m.** | Interview of David Glockner (SEC)  
Interviewer: Chris Pickett (Greensfelder, Hemker & Gale, P.C.)
- **1:30 – 2:30 p.m.** | Panel 1: Cybersecurity  
Chris Longobucco (FINRA), Vijay Anand, PhD (Southeast Missouri State University), Patrick Chavez (Edward Jones), Andrew Hartnett (MO Securities Commission)  
Moderator: Spencer Garland (Greensfelder, Hemker & Gale, P.C.)
- **2:30 – 3:00 p.m.** | Break
- **3:00 – 3:30 p.m.** | Panel 2: Risk Management  
James Stephens (UMB), Nate Zelinske (Scottrade), Mark Hubbert (Wells Fargo)  
Moderator: Esdres Vera (Bates Compliance Solutions)
- **3:30 – 4:00 p.m.** | Interview of Richard Berry (FINRA)  
Interviewer: Dennis Capriglione (Wells Fargo Advisors)
- **4:00 – 4:30 p.m.** | Panel 3: Ask the GC | David Minnick (Stifel) and Chris Lewis (Edward Jones)  
Moderator: Kevin McLaughlin (Greensfelder, Hemker & Gale, P.C.)
- **4:30 – 4:45 p.m.** | Break
- **4:45 – 5:15 p.m.** | Panel 4: Reportable Events  
Jeff Jamieson (Edward Jones) and Cathy Poe (Stifel)  
Moderator: Don McBride (Greensfelder, Hemker & Gale, P.C.)
- **5:15 – 5:20 p.m.** | Closing Remarks with Jim Ferrick (Greensfelder, Hemker & Gale, P.C.)
- **5:20 – 6:30 p.m.** | Cocktail Reception