

2026 NSCP National Conference Agenda

Hyatt Regency Grand Cypress, Orlando, FL

Press may only attend the Keynote and General Sessions marked (OPEN). All panel sessions are open to regulatory attendees. Labs and talk groups are closed to both press and regulatory attendees.

Sunday, October 25, 2026

- 2:00 – 4:00 BOARD MEETING
- 2:00 – 7:00 REGISTRATION
- 5:00 – 6:30 WELCOME RECEPTION

Monday, October 26, 2026

- 7:30 – 8:30 BREAKFAST
- 8:30 – 9:00 NSCP FIRESIDE CHAT
NEW ATTENDEE / NEW MEMBER SESSION
- 9:00 – 9:15 TRANSITION TO NEXT SESSION
- 9:15 – 9:25 WELCOME & OPENING REMARKS
- 9:30 – 10:30 KEYNOTE (OPEN) | *Robert Cooke, President and CEO of FINRA*
- 10:30 – 11:00 NETWORKING BREAK & EXHIBITOR SHOWCASE
- 11:00 – 12:00 CONCURRENT BREAKOUTS

1a. ALL – Evaluating Enforcement Risk When Issues Surface: Escalation, Self-Reporting & CCO Liability (Advanced)

When compliance issues emerge, the decisions made in the earliest stages (whether to escalate, investigate, remediate, or self-report) can significantly influence regulatory outcomes and enforcement exposure. As regulators continue to emphasize individual accountability and strengthen whistleblower programs, compliance professionals must carefully navigate evolving expectations around escalation protocols, documentation, and supervisory responsibility.

This panel session examines how firms assess enforcement risk once potential violations are identified, including considerations surrounding internal escalation, voluntary self-reporting, and the growing focus on Chief Compliance Officer (CCO) liability. Panelists will also discuss recent whistleblower guidance and its impact on internal reporting structures, investigations, and organizational culture. Through practical insights and real-world perspectives, the session will help participants evaluate how to respond thoughtfully and defensibly when issues surface.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Identify key factors regulators consider when evaluating enforcement risk, escalation decisions, and voluntary self-reporting outcomes
- Understand evolving expectations related to CCO accountability and how governance, documentation, and decision-making processes can mitigate personal and firm risk
- Assess the impact of updated whistleblower guidance on internal reporting channels, investigations, and compliance program design

1b. ALL – Firm Fraud: Detecting and Preventing ACH, Commission & Accounts Payable Abuse (Intermediate)

Fraud remains a persistent risk for financial services firms, impacting areas such as automated clearing house (ACH) transactions, commission payments, and accounts payable processes. To effectively detect and prevent fraudulent activity before it leads to significant financial or reputational damage, firms need robust monitoring, strong internal controls, and heightened awareness of common red flags.

This panel session will examine prevalent types of firm-level fraud and highlight practical strategies for identification, investigation, and prevention. Panelists will share lessons learned from real-world examples, discussing how compliance professionals can strengthen controls, monitor high-risk areas, and foster a culture of accountability across the organization.

The following learning objectives will be addressed through expert discussion and audience engagement; participants will:

- Identify common fraud schemes involving ACH transactions, commissions, and accounts payable processes
- Evaluate internal controls and monitoring strategies to prevent, detect, and respond to firm-level fraud
- Apply practical approaches for reporting, investigating, and remediating fraudulent activity while maintaining regulatory compliance

1c. ALL - AML Innovations: Leveraging Technology for Financial Crime Prevention (Intermediate)

Anti-money laundering (AML) programs are undergoing rapid transformation as firms adopt emerging technologies to strengthen detection, monitoring, and investigative capabilities. Innovations such as

artificial intelligence, advanced analytics, and blockchain-based tools are reshaping how financial institutions identify suspicious activity, manage risk, and respond to evolving financial crime threats. At the same time, regulators continue to emphasize accountability, model transparency, and effective program governance.

This panel session explores how technology is being integrated into modern AML programs, highlighting practical implementation challenges, real-world case studies, and recent enforcement actions that illustrate regulatory expectations. Panelists will discuss how compliance professionals can leverage innovation responsibly while maintaining strong controls, documentation, and oversight aligned with supervisory expectations.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Understand how emerging technologies, including AI and blockchain, are enhancing AML monitoring, investigations, and risk identification
- Analyze lessons learned from recent enforcement actions and real-world technology implementations in AML programs
- Evaluate governance, oversight, and documentation practices needed to support effective and regulator-ready technology-enabled AML frameworks

1d. BD/IA LAB - Conflicts & Gifts/Entertainment: Building a Conflicts Inventory That Actually Works (Basic)

Managing conflicts of interest, including gifts and entertainment, remains a core expectation of effective compliance programs, yet many firms struggle to create inventories that are practical, complete, and usable in day-to-day oversight. This interactive lab introduces participants to foundational approaches for identifying, documenting, and monitoring conflicts of interest, with a focus on building a conflicts inventory that supports real compliance decision-making rather than a static checklist.

Participants will explore common conflict scenarios, including gifts and entertainment practices, and learn how technology solutions can streamline tracking, approvals, and reporting. Through guided exercises and practical examples, learners will develop a repeatable framework for maintaining a living conflicts inventory that aligns with regulatory expectations and business operations.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Identify common conflicts of interest and gifts/entertainment risks within financial services firms
- Understand the purpose and core components of an effective conflicts inventory
- Apply practical methods for collecting, updating, and monitoring conflicts information across business units
- Evaluate how technology tools can support conflict tracking, approvals, identification of emerging patterns or and documentation
- Develop foundational oversight practices (i.e. gap analysis) that promote transparency and consistent conflict management

This session is closed to both regulatory attendees and members of the press.

1e. BD/IA LAB - Reg S-P Amendments Readiness: Incident Response + Customer Notification “War Game” (Intermediate)

Recent amendments to Regulation S-P have heightened expectations for incident response and customer notification. Firms must now be prepared to act swiftly, coordinate effectively, and document decisions under pressure. In this interactive “war game” session, participants will navigate a simulated cybersecurity incident, assessing risk, determining notification obligations, and aligning actions with updated Regulation S-P requirements. This hands-on exercise will guide participants through key decision points strengthening their readiness for real-world events.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Understand key amendments to Regulation S-P and their impact on incident response and customer notification obligations.
- Apply regulatory requirements to a simulated incident scenario, including escalation, documentation, and decision-making steps.
- Identify critical factors in determining whether and when customer notification is required.
- Evaluate coordination strategies among compliance, legal, IT, and senior leadership during an active incident.
- Develop practical approaches to testing and strengthening incident response plans through tabletop exercises and readiness assessments.

This session is closed to both regulators and members of the press.

1f. PF - Private Fund Talk Group

This interactive talk group will explore current priorities such as valuation oversight, fee and expense allocations, conflicts of interest, and exam readiness, with an emphasis on practical approaches and real-world challenges. Participants will have the opportunity to exchange insights and discuss emerging expectations to help strengthen and future-proof their compliance programs. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

1g. IC - Investment Company Regulation Talk Group

This interactive talk group will discuss current and recently adopted rule proposals as well as enforcement actions impacting the investment company industry. Participants will discuss the evolving roles and responsibilities of Fund CCOs and investment company compliance professionals. Exam priorities such as due diligence of service providers, fund fees and expenses, and valuation will also be discussed in an engaging small group environment. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

12:00 – 1:15 AWARDS LUNCHEON

1:15 – 1:30 TRANSITION TO NEXT SESSION

1:30 – 2:45 CONCURRENT BREAKOUTS

2a. BD/IA - Suitability, Best Interest & Conflicts of Interest in Modern Advice Models (Intermediate)

As advice models continue to evolve and incorporate fee-based relationships, hybrid service structures, and dual registrant business models firms must navigate overlapping regulatory standards governing suitability, best interest obligations, and conflicts of interest. Broker-dealers and investment advisers face increasing scrutiny around how recommendations are made, disclosed, supervised, and documented across differing regulatory frameworks, particularly under Regulation Best Interest (Reg BI) and fiduciary obligations applicable to investment advisers.

This panel session explores how compliance professionals can operationalize suitability and best interest standards within modern advice models while managing conflicts that arise from compensation structures, product offerings, and service delivery approaches. Panelists will examine practical challenges faced by dual registrants and discuss supervisory practices that promote consistency, transparency, and defensible compliance outcomes.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Compare suitability, Reg BI, and fiduciary obligations as they apply across broker-dealer and investment adviser activities, particularly within dual registrant firms
- Identify common conflicts of interest in modern advice models and evaluate approaches to disclosure, mitigation, and supervision
- Apply practical oversight and documentation practices that support consistent best interest determinations across varying client relationships and recommendation types

2b. ALL - Enforcement Heat Map 2026: What SEC & FINRA Enforcement Trends to Manage Compliance Priorities (Intermediate)

Recent regulatory enforcement activity provides critical insights into where the SEC and FINRA are focusing their resources. Understanding these trends enables compliance professionals to prioritize program enhancements, mitigate risk, and prepare for examinations or investigations. By reviewing the actions, Compliance can proactively identify emerging areas of concern, common compliance gaps, and evolving expectations for supervisory and operational practices.

Panelists will provide real world examples and case studies to offer guidance on how to interpret enforcement patterns, anticipate areas of risk, and adjust compliance strategies accordingly.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze recent SEC and FINRA enforcement actions to identify emerging compliance and supervisory priorities
- Evaluate compliance gaps and risk areas highlighted by enforcement trends
- Apply lessons learned to enhance compliance monitoring, controls, and preparedness for regulatory scrutiny

2c. ALL - Cybersecurity 2026: Threat Intelligence, Deepfakes & Operational Resiliency (Advanced)

Cybersecurity risk continues to evolve at a pace that challenges traditional compliance and risk management frameworks. As threat actors adopt more sophisticated tactics (including AI-driven attacks, deepfake-enabled fraud, and coordinated operational disruptions) regulators are increasingly focused on

firms' ability to anticipate threats, protect client information, and maintain operational resiliency. Compliance leaders must now work closely with technology, risk, and business teams to ensure cybersecurity programs align with supervisory expectations while supporting enterprise-wide resilience.

This panel examines emerging cybersecurity risks shaping the regulatory landscape heading into 2026, including the growing role of threat intelligence, the implications of deepfake technology for fraud and supervision, and evolving expectations around incident response and operational continuity. Panelists will discuss how firms can strengthen governance, testing, and cross-functional coordination to demonstrate preparedness under heightened regulatory scrutiny.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze emerging cybersecurity threats, including AI-enabled attacks and deepfake risks, and their impact on compliance and supervisory programs
- Evaluate how threat intelligence and monitoring capabilities support proactive risk management and regulatory readiness
- Assess operational resiliency and incident response practices that align cybersecurity controls with evolving regulatory expectations

2d. BD/IA - Due Diligence on Incoming Products: Oversight for Alternatives, Credit, Evergreen & Interval Funds (Advanced)

As firms expand product shelves to include alternative investments, private credit strategies, evergreen structures, and interval funds, regulators continue to scrutinize how firms conduct product due diligence before offerings reach clients. Compliance and supervisory teams are increasingly expected to demonstrate robust governance over product approval, risk assessment, disclosure review, and ongoing monitoring. Particularly where liquidity, valuation, complexity, and investor suitability present heightened risks.

This panel examines best practices for conducting and documenting due diligence on incoming products, focusing on how firms evaluate product structure, conflicts, fees, operational risks, and distribution considerations. Panelists will discuss supervisory expectations, lessons learned from examinations and enforcement actions, and how compliance functions can effectively challenge business assumptions while supporting responsible product innovation.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Evaluate whether product due diligence frameworks for alternative credit, evergreen, and interval products, are fit for purpose, given liquidity, valuation, leverage, and complexity risks.
- Identify governance, documentation, and committee level failures that most often drive regulatory scrutiny of alternative product programs.
- Effectively challenge business assumptions while supporting responsible product innovation, using defensible, risk-based compliance judgment.

2e. ALL LAB - Regulatory Change Management: Building Agile Compliance Programs (Intermediate)

In an environment of accelerating regulatory developments and evolving supervisory expectations, compliance programs must move beyond reactive implementation toward agile and sustainable change management practices. This interactive lab explores how compliance teams can proactively identify,

assess, and operationalize regulatory changes across broker-dealers and investment advisers while maintaining effective governance and business alignment.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Apply structured frameworks for identifying, tracking, and prioritizing regulatory changes impacting compliance programs
- Develop effective communication and coordination strategies between compliance, legal, technology, and business stakeholders
- Evaluate technology solutions that support regulatory change management, workflow tracking, and documentation
- Design training and implementation approaches that promote consistent adoption of regulatory changes across the organization
- Strengthen governance practices to demonstrate proactive and well-documented regulatory change management

This session is closed to both regulators and members of the press.

2f. ALL LAB - Compliance Considerations When a Threat of Litigation Is Present: Whistleblowers & Internal Investigations (Basic)

When allegations surface or the threat of litigation emerges, firms must respond promptly while balancing legal risk, regulatory obligations, and employee protections. This foundational session will explore the essential steps compliance professionals should take when handling whistleblower complaints and initiating internal investigations. Participants will gain practical guidance on maintaining confidentiality, preserving evidence, and coordinating with legal counsel to support a defensible and well-documented response.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Understand the basic steps involved in responding to whistleblower complaints and potential litigation threats.
- Identify key document preservation and evidence-handling requirements once litigation risk is identified.
- Recognize the roles of compliance, legal, and human resources in conducting internal investigations.
- Learn fundamental practices for maintaining confidentiality and protecting against retaliation.
- Develop practical approaches for documenting investigative actions and maintaining defensible records.

This session is closed to both regulatory attendees and members of the press.

2g. ALL - Small Firm Issues Talk Group

This interactive group will discuss issues such as: separation of oversight, testing, and other functional duties; wearing multiple hats; identifying and addressing conflicts of interest; cybersecurity compliance; ability to handle the workload vs. regulatory priorities and implementation of new regulations; product suitability; and exam preparedness, as they relate to Investment Adviser compliance professionals of small firms. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

2:45 – 3:00	TRANSITION TO NEXT SESSION
3:00 – 3:10	DAY ONE CLOSING REMARKS
3:15 – 4:15	GENERAL SESSION (OPEN) REGULATORY INFLECTION POINT AND THE ACCELERATION OF AI, CYBER AND MARKET INTEGRITY
4:15 – 5:30	NETWORKING RECEPTION

Tuesday, October 27, 2026

6:30 – 7:30	NSCP FUN RUN (5K)
7:30 – 8:30	BREAKFAST
8:30 – 8:40	WELCOME REMARKS
8:45 – 9:45	KEYNOTE (OPEN) <i>Joseph Brady, Executive Director of NASAA</i>
9:45 – 10:00	TRANSITION TO NEXT SESSION
10:00 – 11:00	CONCURRENT BREAKOUTS

3a. ALL - Crypto & Digital Assets 2026: Regulatory Clarity, Novel Risks & Firm Readiness (Advanced)

As digital asset markets mature, regulatory expectations are beginning to take clearer shape. While simultaneously introducing new supervisory, operational, and compliance risks for financial institutions. Recent SEC statements, evolving regulatory guidance, emerging stablecoin legislation, and continued focus on crypto exchange-traded products (ETPs) are reshaping how firms evaluate participation in digital asset activities. Compliance leaders must now assess not only regulatory permissibility, but also governance, custody, disclosure, and market integrity risks associated with these rapidly evolving products and services.

This panel examines the developing regulatory landscape for crypto and digital assets heading into 2026, focusing on practical readiness considerations for broker-dealers, investment advisers, and dual registrants. Panelists will discuss lessons from regulatory developments, supervisory expectations, and risk management approaches firms should consider when onboarding digital asset products, counterparties, and infrastructure.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze recent SEC positions, emerging stablecoin legislation, and regulatory developments affecting crypto assets and crypto-ETPs
- Evaluate novel compliance risks related to custody, valuation, liquidity, market structure, and disclosures associated with digital asset activities

- Assess governance, supervision, and risk management frameworks necessary to support firm readiness for digital asset participation

3b. ALL - Conducting Internal Investigations: From Discovery to Response (Basic)

Internal investigations are a core component of an effective compliance program, helping firms identify potential misconduct, address issues proactively, and demonstrate regulatory responsiveness.

Understanding when and how to escalate matters, remediate issues, and coordinate communications is critical for reducing risk and maintaining credibility with regulators, clients, and the public.

This panel session introduces participants to the fundamentals of conducting internal investigations, including assessing whether self-reporting is appropriate, designing remedial action plans, and coordinating public relations and stakeholder communication strategies. Panelists will share practical guidance and lessons learned from real-world examples to help compliance professionals manage investigations efficiently and effectively.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Recognize when internal issues require escalation and potential self-reporting to regulators
- Understand regulatory reporting obligations (eg FINRA Rule 4530) versus a choice to self-report
- Develop practical approaches to investigating, documenting, and remediating compliance concerns

3c. B/D - FINRA Rule 3290 in 2026: Navigating Expanded Outside Investment Guidance (Intermediate)

FINRA Rule 3290 continues to evolve, balancing flexibility for registered representatives with the need for compliance oversight over outside business and investment activities. While recent updates loosen some requirements for personal business activities, they also introduce new considerations regarding outside investments. Including activity beyond traditional securities, expanded disclosure obligations, and potential conflicts of interest.

This panel session explores the practical implications of FINRA Rule 3290 for compliance programs, offering guidance on monitoring, documentation, and supervisory responsibilities. Participants will examine strategies for evaluating outside investment activity, addressing conflicts, and ensuring programmatic compliance in a changing regulatory environment.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Understand the 2026 updates to FINRA Rule 3290, including expanded guidance on outside investments and activities beyond securities
- Evaluate compliance and supervisory considerations for monitoring registered representative outside activity and potential conflicts of interest
- Apply practical approaches for documentation, approval, and oversight to support regulatory compliance and mitigate risk

3d. PF - Retailization of Private Funds: Regulatory Implications & Compliance Strategies (Intermediate)

The increasing retailization of private funds is reshaping the investment landscape, creating opportunities for broader investor access while introducing heightened regulatory scrutiny. As private funds expand beyond traditional institutional clients, compliance teams must navigate complex regulatory requirements related to disclosure, suitability, investor protections, marketing, and risk oversight. Ensuring adherence to these evolving rules is critical to mitigating operational, reputational, and enforcement risk.

This panel examines the regulatory considerations surrounding the retailization of private funds, offering insights into program design, compliance challenges, and supervisory expectations. Panelists will discuss strategies for structuring funds, monitoring distribution practices, and implementing controls to support compliance with both SEC regulations and industry best practices.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze regulatory frameworks and compliance obligations related to the retailization of private funds
- Evaluate suitability, disclosure, and marketing considerations to ensure compliance with investor protection requirements
- Assess operational and supervisory strategies for managing risk, governance, and ongoing monitoring of retailized private fund offerings

3e. BD/IA/Insurance LAB - Insurance & Annuity Compliance: RILAs, Variable Products & Reg BI in Practice - Including Dual Registrants (Intermediate)

As insurance and securities products continue to evolve, compliance professionals face increasing complexity in overseeing registered index-linked annuities (RILAs), variable products, and hybrid distribution models. This session will explore current regulatory expectations, supervisory challenges, and emerging enforcement trends impacting insurance, broker-dealer and investment adviser compliance programs—particularly for firms operating as dual registrants. Participants will gain practical insights into aligning policies, supervision, and disclosures with Regulation Best Interest (Reg BI) obligations while managing product-specific risks and cross-channel sales activity.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Examine key compliance considerations for overseeing RILAs, variable annuities, and other complex insurance products.
- Analyze how Reg BI obligations apply to insurance and annuity recommendations, particularly in dual registrant environments.
- Identify common supervisory challenges associated with hybrid sales models and cross-licensed representatives.
- Review recent regulatory focus areas and enforcement themes impacting insurance and annuity distribution.
- Develop practical strategies for enhancing policies, disclosures, and supervision frameworks across insurance and securities business lines.

This session is closed to both regulatory attendees and members of the press.

3f. BD/IA - Dual Registrants Talk Group (Medium to Large Firms)

This interactive group discussion will offer participants of medium to large firms the opportunity to discuss issues such as identifying conflicts of interest, outside business activities, gifts & entertainment, Reg BI,

new regulations, Enforcement issues, social media, branch office inspections, and remote supervision as they relate to Broker-Dealer and Investment Adviser compliance professionals. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

11:00 – 11:30 NETWORKING BREAK & EXHIBITOR SHOWCASE

11:30 – 12:30 CONCURRENT BREAKOUTS

4a. ALL - Tokenization of Assets: Compliance Challenges and Opportunities (Advanced)

The tokenization of traditional and alternative assets is rapidly reshaping capital markets, introducing new efficiencies in ownership, liquidity, and distribution while raising complex regulatory and compliance questions. As financial institutions explore blockchain-based issuance and trading models, compliance leaders must evaluate how existing regulatory frameworks apply to tokenized securities, funds, and other real-world assets — often across evolving and uncertain guidance.

This panel examines the regulatory, operational, and compliance implications of asset tokenization, including custody considerations, transfer restrictions, disclosure obligations, market structure risks, and cross-border challenges. Panelists will discuss how firms can balance innovation with regulatory readiness, adapt supervisory frameworks, and design governance models capable of supporting tokenized products within existing compliance programs.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze how current securities regulations and supervisory expectations apply to tokenized traditional and alternative assets
- Evaluate operational and compliance risks related to blockchain infrastructure, custody models, transferability, and investor protections
- Assess governance and control frameworks firms should consider when launching or supporting tokenized asset offerings

4b. ALL - Ethical Conduct and Enforcement: The New Playbook for CCO Liability & Governance (Advanced)

Compliance professionals are under increasing scrutiny as regulators emphasize individual accountability, ethical decision-making, and strong compliance programs. Chief Compliance Officers (CCOs) are expected not only to design and oversee effective policies and procedures, but also to detect and prevent enforcement risk, resolve complex ethical dilemmas, and ensure the adequacy of compliance resources to keep the firm out of harm's way. Recent regulatory trends highlight the importance of program effectiveness, personal actions, and organizational culture as key factors in avoiding enforcement scrutiny.

This panel explores the evolving expectations for CCO accountability, ethical leadership, and governance in the context of enforcement actions. Panelists will discuss strategies for mitigating personal and organizational risk fostering a culture of decision-making and handling regulatory inquiries in a manner that demonstrates credibility, integrity and sound judgment.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze emerging regulatory expectations regarding CCO accountability, personal liability, and ethical oversight
- Evaluate governance frameworks and compliance program design strategies that reinforce ethical decision-making and defensible compliance outcomes
- Assess practical approaches for managing risk while maintaining transparency, documentation, and organizational integrity to avoid enforcement inquiries

4c. IA - Custody 2026: Avoidance Strategies, New Triggers & Examination Themes (Intermediate)

Custody obligations remain one of the most complex and frequently examined areas for investment advisers and financial services firms. As business models evolve and regulators refine their interpretation of custody triggers, compliance professionals must carefully evaluate how advisory practices, fee arrangements, trading authority, and third-party relationships may unintentionally create custody exposure. Recent examination priorities and regulatory developments continue to highlight documentation, oversight, and operational controls as key areas of focus.

This panel session explores emerging custody themes heading into 2026, including common custody triggers, strategies firms use to avoid inadvertent custody, and lessons learned from recent examinations. Panelists will discuss practical approaches for assessing custody risk, strengthening internal controls, and preparing for regulator scrutiny while maintaining efficient client service models.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Identify evolving custody triggers and common scenarios that may create unintended custody under regulatory interpretations
- Evaluate avoidance strategies and operational controls designed to mitigate custody risk and support compliant advisory practices
- Analyze recent examination themes and documentation expectations related to custody oversight and compliance program effectiveness

4d. ALL LAB - Testing, Surveillance & the Modern Annual Review: Data-Driven Excellence (Intermediate)

This lab examines how compliance professionals can integrate analytics and AI-enabled surveillance into testing frameworks and annual compliance reviews while maintaining appropriate governance, documentation, and supervisory controls. Participants will explore how automated monitoring, risk indicators, and advanced data analysis can strengthen detection capabilities, improve efficiency, and support defensible compliance decisions. Through practical scenarios, learners will evaluate how technology-driven insights translate into meaningful program enhancements and regulatory readiness.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Evaluate how data analytics and AI tools can enhance monitoring, exception reporting, and risk identification across business activities
- Assess governance, model oversight, and validation considerations when implementing automated surveillance solutions
- Incorporate analytics outputs and surveillance findings into a modern, risk-based annual compliance review

- Develop documentation and escalation practices that demonstrate effective oversight of technology-enabled compliance programs

This session is closed to both regulatory attendees and members of the press.

4e. ALL - How to Improve Efficiency with Technology Talk Group

This interactive talk group will explore workflows and ways to enhance efficiency. Focusing on practical ways to leverage automation, data analytics, and emerging tools—such as AI-enabled solutions—to reduce manual effort, improve accuracy, and scale processes more effectively.

Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

4f. ALL - Pension Funds & Endowments Talk Group

This interactive group discussion is relevant to compliance professionals at pension funds, foundations, and endowments. Attendees are encouraged to exchange compliance best practices, experiences, and issues relevant to these types of institutional investors. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

12:30 – 1:30 NETWORKING LUNCHEON

1:30 – 2:45 CONCURRENT BREAKOUTS

5a. ALL - AI & GenAI in Compliance: From Productivity Booster to Regulatory Risk (Advanced)

Artificial intelligence and generative AI (GenAI) tools are rapidly transforming compliance operations. Enhancing efficiency, automating workflows, and expanding analytical capabilities while simultaneously introducing new regulatory, supervisory, and governance risks. As the SEC and FINRA increase focus on AI-related oversight, firms must evaluate how emerging technologies impact existing compliance obligations, risk management frameworks, and supervisory accountability.

This panel brings together industry leaders to provide a deep dive into evolving regulatory expectations surrounding GenAI, including model bias, hallucinations, governance controls, data integrity, and the growing implications of agent autonomy. Panelists will explore practical challenges firms face when deploying AI-enabled tools and discuss how compliance programs can balance innovation with defensible risk management and regulatory readiness.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze emerging SEC and FINRA expectations related to AI and GenAI governance, including risks associated with bias, hallucinations, and automated decision-making
- Evaluate model governance and oversight frameworks needed to manage AI-enabled tools within regulated compliance environments
- Assess how increasing AI autonomy and automation may reshape supervisory responsibilities, accountability, and regulatory risk exposure

5b. ALL - Global Privacy, Data Governance & 2026 Cyber Resiliency Obligations (Intermediate)

Privacy, data governance, and cybersecurity expectations continue to expand across jurisdictions, requiring financial services firms to integrate robust protections with regulatory compliance. As regulators implement amendments to Reg S-P, update guidance on identity theft red flags, and encourage convergence of global privacy standards, compliance leaders must balance operational resilience, data protection, and cross-border regulatory obligations.

This panel explores the evolving global privacy and data governance landscape, highlighting regulatory updates, operational challenges, and strategic approaches for achieving cyber resiliency in 2026. Panelists will share best practices for managing personal data, mitigating identity theft risks, and implementing governance frameworks that align with regulatory expectations across multiple markets.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze the impact of Reg S-P amendments, identity theft red flags, and other regulatory changes on privacy and data governance programs
- Evaluate strategies for achieving cross-border compliance and convergence with global privacy standards
- Assess cyber resiliency frameworks that integrate governance, risk management, and operational controls to protect data and support regulatory readiness

5c. IA/PF - Marketing Rule 2026: Performance, Hypotheticals & Digital Content Challenges (Intermediate)

As firms adapt to the evolving Marketing Rule landscape, compliance teams face new challenges in reviewing performance disclosures, hypothetical illustrations, and digital content, including material generated or enhanced by artificial intelligence. With GenAI tools increasingly used to draft marketing materials, firms must implement robust governance, review standards, and control frameworks to ensure content is fair, balanced, and compliant with SEC and FINRA expectations.

This panel session explores practical strategies for managing marketing compliance in a digital and AI-driven environment. Panelists will discuss review protocols, risk assessment of hypothetical performance presentations, and operational approaches to oversee AI-generated content, helping compliance professionals balance innovation with regulatory safeguards.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Evaluate compliance considerations for marketing content, including performance and hypothetical presentations under the Marketing Rule 2026
- Analyze governance, review standards, and controls necessary for digital and AI-generated marketing materials
- Apply practical approaches to monitoring, documenting, and mitigating risk in marketing communications across multiple channels

5d. BD/IA LAB - Mock Exam Opening Meeting & Document Request Triage: Navigating the Modern Examination Process (Basic)

Regulatory examinations continue to evolve, requiring compliance professionals to understand not only what regulators request, but how to respond efficiently and confidently from the very first interaction. This

interactive lab introduces participants to the fundamentals of managing a regulatory examination opening meeting and organizing responses to initial document requests considering recent changes to examination programs and approaches.

The following learning objectives will be met using role-play scenarios, examples, group discussions, and other application activities:

- Understand the purpose and structure of a regulatory examination opening meeting and recent shifts in examination focus
- Identify best practices for reviewing and prioritizing initial document requests
- Apply practical strategies for coordinating internal responses and gathering information efficiently
- Recognize common early-stage examination risks and how to avoid avoidable missteps
- Develop foundational documentation and communication practices that support a well-managed examination process

This session is closed to both regulatory attendees and members of the press.

5e. BD LAB - Complex & Alternative Products: Oversight, Suitability & Reg BI Scrutiny (Advanced)

As firms expand offerings that include complex and alternative investment products, regulators continue to focus on whether supervisory frameworks, suitability analyses, and Reg BI obligations are meaningfully applied and well documented. This advanced interactive lab challenges participants to evaluate supervisory decision-making under heightened regulatory scrutiny, focusing on how firms demonstrate that recommendations are in the best interest of the client.

Using a structured decision-tree exercise built around three distinct client profiles, participants will assess product recommendations, identify supervision and documentation expectations, and test whether controls would withstand regulatory examination. Through peer discussion and applied analysis, the session emphasizes building supervisory practices that are consistent, defensible, and aligned with evolving FINRA and SEC expectations.

The following learning objectives will be met using case studies, decision exercises, group discussions, and other application activities:

- Apply suitability and Regulation Best Interest (Reg BI) standards to complex and alternative product recommendations across varying client profiles
- Evaluate supervisory controls and escalation practices designed to oversee higher-risk products
- Analyze how documentation and decision frameworks support defensible compliance outcomes during regulatory examinations
- Identify common supervisory gaps and risk indicators associated with complex product distribution
- Strengthen risk-based oversight approaches that align product complexity with client characteristics and firm supervision

This session is closed to both regulatory attendees and members of the press.

5f. BD/IA - Dual Registrants Talk Group (Small Firms)

This interactive group discussion will offer participants of smaller size firms the opportunity to discuss issues such as identifying conflicts of interest, outside business activities, gifts & entertainment, Reg BI, new regulations, Enforcement issues, social media, and remote supervision as they relate to BD and IIA compliance professionals. Talk group participants are encouraged to share best practices and ask questions.

This session is closed to both regulatory attendees and members of the press.

2:45 – 3:00 TRANSITION TO NEXT SESSION

3:00 – 3:10 DAY TWO CLOSING REMARKS

3:15 – 4:15 KEYNOTE (OPEN) | Senior Privacy & Intelligence Advisor, 360 Privacy Weaponized Data: How Thread Actors Turn Executive PII Into Enterprise Liability | *C.K. Redlinger*

4:15 – 5:30 NETWORKING RECEPTION

Wednesday, October 28, 2026

6:30 – 7:30 YOGA

7:30 – 8:30 BREAKFAST

8:30 – 8:45 FINAL TAKEAWAYS & CLOSING REMARKS

**8:45 – 9:45 GENERAL SESSION (OPEN)
REGULATORY PERSPECTIVES: LESSONS FROM THE OTHER SIDE**

9:45 – 10:00 TRANSITION TO NEXT SESSION

10:00 – 11:00 CONCURRENT BREAKOUTS

6a. ALL - Developing the Next Generation Compliance Team: Skills, Culture & Technology (Intermediate)

The compliance function is evolving rapidly, requiring professionals who can navigate regulatory change, leverage new technologies, and foster a culture of ethical decision-making. Building a next-generation compliance team goes beyond traditional training. It involves developing the right skills, adopting innovative tools, and creating a culture that empowers employees to identify and escalate risks effectively.

This panel session explores how firms can cultivate high-performing compliance teams capable of meeting today's challenges and tomorrow's expectations. Panelists will discuss workforce development, skill-building, technology integration, and cultural strategies that strengthen the compliance function and enhance organizational resilience.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Identify key skills and competencies required for a modern, technology-enabled compliance team
- Explore strategies for fostering a culture of ethics, accountability, and proactive risk management
- Assess how technology can support team efficiency, collaboration, and data-driven compliance decision-making

6b. PF - Valuing Difficult-to-Value Securities: Fair Valuation, Pricing Committees & Enforcement Takeaways (Advanced)

Valuing complex or illiquid securities remains one of the most challenging areas for compliance and risk management. Firms must ensure fair valuation processes are robust, well-documented, and defensible — particularly as regulators continue to scrutinize pricing practices, oversight of pricing committees, and the controls supporting valuation methodologies. Recent enforcement actions underscore the importance of transparent governance, consistent methodology, and comprehensive documentation to mitigate risk and protect both investors and the firm.

This panel examines best practices for fair valuation of difficult-to-value securities, including operational controls, committee oversight, and lessons learned from regulatory enforcement. Panelists will discuss how compliance professionals can partner with investment, risk, and finance teams to ensure valuation practices meet regulatory expectations and withstand scrutiny.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Assess frameworks and controls for fair valuation of complex, illiquid, or difficult-to-value securities
- Evaluate the role, responsibilities, and governance of pricing committees in supporting defensible valuations
- Analyze enforcement trends and lessons learned to strengthen compliance oversight and mitigate valuation-related risk

6c. ALL - “Reasonable” MNPI Controls: What Good Looks Like in 2026 - Prediction Markets, Compliance & Risk (Advanced)

As markets and technology evolve, managing material non-public information (MNPI) remains a top priority for compliance teams. Emerging platforms such as prediction markets and advanced analytics tools introduce new vectors for potential information leakage, making it critical to reassess what constitutes “reasonable” controls in a rapidly changing environment. Regulators are increasingly focused on governance, monitoring, and documentation practices that demonstrate firms are proactively identifying and mitigating MNPI risks.

This panel explores best practices for designing, implementing, and testing MNPI controls that meet evolving regulatory expectations in 2026. Panelists will discuss compliance strategies, risk management frameworks, and oversight practices for prediction markets and other innovative information-sharing tools, providing guidance on how to balance operational innovation with robust MNPI safeguards.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze regulatory expectations and best practices for “reasonable” MNPI controls, including emerging risks from prediction markets
- Evaluate risk assessment and monitoring approaches that support proactive identification and mitigation of MNPI exposure
- Assess governance, documentation, and testing strategies to ensure compliance programs remain defensible and effective in dynamic market environments

6d. ALL LAB – Responding to Investigations: Regulatory Expectations & Internal Readiness (Basic)

Regulatory inquiries and investigations can arise with little warning, making preparation essential for an effective and compliant response. This session provides a foundational overview of how firms should respond to requests from regulators, including initial intake, document preservation, and coordination across internal teams. Participants will learn core expectations from regulators and practical steps to build internal readiness that supports timely, accurate, and well-managed responses.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Understand the typical lifecycle of a regulatory inquiry or investigation, from initial request through resolution.
- Identify key regulatory expectations for timely responses, document preservation, and communications.
- Recognize the roles and responsibilities of compliance, legal, and business teams during an investigation.
- Learn fundamental steps for establishing internal response protocols and escalation procedures.
- Explore practical approaches for maintaining organized documentation and audit trails to support regulatory requests.

This session is closed to both regulatory attendees and members of the press.

6e. PF LAB – Marketing & Selling Private Fund Interests in the Post-Enforcement Wave Era (Intermediate)

Recent enforcement activity has reshaped regulatory expectations around the marketing and distribution of private fund interests. Firms must carefully navigate evolving standards related to performance advertising, due diligence, disclosures, and communications with prospective investors. This session will examine lessons learned from recent enforcement trends and provide practical guidance on strengthening compliance controls, reviewing marketing materials, and supervising sales practices in a heightened regulatory environment.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Identify key enforcement themes and regulatory focus areas impacting the marketing and sale of private fund interests.
- Understand compliance expectations related to performance advertising, disclosures, and investor communications.
- Recognize common risk areas associated with due diligence, third-party marketers, and placement agent relationships.
- Evaluate supervisory practices for reviewing and approving marketing materials and sales activity.
- Develop practical strategies to enhance policies, training, and oversight in response to evolving regulatory expectations.

This session is closed to both regulatory attendees and members of the press.

11:00 – 11:30 NETWORKING BREAK & EXHIBITOR SHOWCASE

11:30 – 12:30 CONCURRENT BREAKOUTS

7a. ALL - Succession Planning for Compliance Leadership: Ensuring Continuity and Expertise (Advanced)

Effective compliance programs rely on strong leadership, institutional knowledge, and continuity of expertise. As firms face evolving regulatory expectations and increasingly complex risk environments, proactive succession planning for compliance leadership has become a critical component of organizational resilience. Ensuring that future leaders are prepared to maintain oversight, uphold ethical standards, and navigate regulatory challenges is essential to sustaining program effectiveness and protecting the firm's reputation.

This panel examines strategies for developing, retaining, and preparing the next generation of compliance leaders. Panelists will discuss frameworks for talent identification, mentorship, knowledge transfer, and organizational planning that preserve institutional expertise and support seamless leadership transitions. The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze approaches to identifying and developing high-potential compliance talent capable of assuming leadership roles
- Evaluate strategies for retaining institutional knowledge and expertise within the compliance function
- Design succession frameworks that balance regulatory expectations, operational continuity, and organizational resilience

7b. ALL - Modernizing Third Party & Outsourcing Oversight in a High-Risk Service Provider Landscape (Advanced)

As financial institutions increasingly rely on third-party vendors and outsourced service providers, regulatory expectations for oversight, risk management, and governance continue to expand. High-risk service providers (including technology platforms, cloud providers, and specialized operational partners) introduce operational, cybersecurity, compliance, and reputational risks that require a proactive, structured approach to due diligence and ongoing monitoring.

This panel explores strategies for modernizing third-party and outsourcing oversight, highlighting best practices for vendor risk assessment, contract management, ongoing performance monitoring, and regulatory alignment. Panelists will provide insights into emerging supervisory expectations, risk mitigation strategies, and tools that enhance oversight effectiveness in a complex outsourcing environment.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Evaluate risk-based frameworks for assessing and monitoring high-risk third-party vendors and outsourced providers
- Analyze regulatory expectations and supervisory guidance for due diligence, ongoing monitoring, and contractual oversight
- Apply practical strategies for governance, reporting, and risk mitigation to strengthen compliance programs in outsourced and vendor relationships

7c. BD/IA - Evolving Expectations for ERISA & Retirement Accounts in a Post-2025 Rule Environment (Advanced)

The regulatory landscape governing retirement advice and ERISA-covered accounts continues to shift following recent rule developments and heightened scrutiny of fiduciary conduct. As retirement products become increasingly “retailized” (expanding access to alternative investments, managed solutions, and complex strategies) firms must reassess how fiduciary obligations, conflicts management, disclosures, and supervisory controls apply across retirement platforms. Compliance leaders face growing expectations to align product offerings, compensation structures, and advice models with evolving interpretations of investor protection and fiduciary responsibility.

This panel explores how post-2025 regulatory developments are reshaping oversight of ERISA and retirement accounts, with particular attention to retail investor access, rollover recommendations, and cross-regulatory considerations involving broker-dealers and investment advisers. Panelists will discuss emerging examination themes, operational challenges, and governance practices firms should consider supporting compliant retirement advice in a changing environment.

The following learning objectives will be addressed through expert discussion and audience engagement:

- Analyze evolving fiduciary and regulatory expectations impacting ERISA and retirement account oversight in the post-2025 rule environment
- Evaluate compliance risks associated with the retailization of retirement investment offerings, including product complexity and conflicts of interest
- Assess supervisory and governance practices needed to support compliant rollover recommendations, disclosures, and retirement advice models

7d. ALL LAB - How to Vet AI Tools (Basic)

As organizations increasingly adopt artificial intelligence (AI) tools for research, document review, internal operations, and client interactions, compliance professionals must evaluate new and evolving risks associated with these technologies. This lab will introduce participants to the fundamentals of AI oversight, focusing on how compliance officers can assess risk across AI use cases, understand key limitations of large language models (LLMs), and partner effectively with technology leaders to vet and govern AI implementation.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Understand basic AI and LLM concepts and their relevance to compliance oversight
- Identify common AI use cases within firms and evaluate associated compliance and operational risks
- Recognize key limitations, data considerations, and potential risks related to how AI tools learn and use information
- Define the role of compliance in AI governance and determine the level of technical understanding required for effective oversight
- Develop practical approaches for partnering with CTOs, IT, and cybersecurity teams to review and vet AI use cases

This session is closed to both regulatory attendees and members of the press.

7e. ALL LAB - Protecting Senior & Vulnerable Investors: Fraud Patterns, Red Flags & TCP Best Practices (Intermediate)

Protecting senior and vulnerable investors remains a top regulatory priority, with ongoing fraud schemes targeting these populations through increasingly sophisticated tactics. This interactive session will explore common fraud patterns identified in recent regulatory findings and highlight practical supervisory approaches for identifying red flags and escalating concerns. Participants will also examine best practices for leveraging Trusted Contact Person (TCP) information and strengthening firm protocols designed to safeguard vulnerable clients.

The following learning objectives will be met using case studies, examples, group discussions, and other application activities:

- Analyze common fraud schemes and patterns impacting senior and vulnerable investors, based on recent regulatory findings.
- Identify key behavioral and transactional red flags that may signal potential exploitation or financial abuse.
- Evaluate best practices for utilizing Trusted Contact Person (TCP) information to support timely intervention and escalation.
- Strengthen supervisory approaches for documenting concerns and coordinating internal responses to suspected exploitation.
- Apply practical decision-making skills through interactive scenarios designed to reinforce detection and response strategies.

This session is closed to both regulatory attendees and members of the press.

SESSION TYPES

Talk Groups - are informal discussion groups centered around specific topics or interest groups for the purpose of networking and the mutual sharing of thoughts and ideas among attendees. Talk groups are meant for small audiences and will not exceed 35 attendees.

Panels–Panelists share information, knowledge and experience in a presentation style; this is more of a one-sided presentation, although we greatly encourage interaction with the audience to include Q&A. These sessions will range in size from 30-250 attendees depending on the topic.

Labs–These are hands-on learning sessions designed to provide real life application; attendees engage in discussions, sharing their thoughts and experiences through case studies, group questions and hypothetical scenarios; practical and useful tools are provided to the attendees. Labs should not exceed 35 attendees

DEFINITIONS OF NSCP LEARNING LEVELS FOR SESSIONS

Basic – These sessions will cover fundamental aspects of the topic with explanations of terms, rules, and key concepts; appropriate for new compliance professionals (0-5 years of experience)

Intermediate – These sessions assume attendees already have the basic level of understanding on rules, expectations, and terminology, covering more of the rule nuances, best practices, and practical application; appropriate for most attendees having more than 3 years of compliance experience.

Advanced – These sessions delve into the deeper, underlying issues affecting various compliance topics and offer comprehensive analysis, in-depth discussion, and critical thinking application; appropriate for well-seasoned compliance professionals with 15 or more years of experience.