

NSCP*Currents*

FOR COMPLIANCE. BY COMPLIANCE.

NATIONAL CONFERENCE EDITION 2026

A SNEAK PEEK

2026 NSCP NATIONAL CONFERENCE



2026 NSCP National Conference

October 25-28, 2026
Hyatt Regency Grand Cypress in Orlando, Florida



The NSCP National Conference provides unique learning, networking, and community-building opportunities that you won't find anywhere else.

- Hear directly from the regulators
- Expand your knowledge and find practical solutions
- Sharpen and apply your skills in interactive lab sessions
- Exchange thoughts and best practices in talk group sessions
- Learn about the newest compliance solutions and tools
- Build your network – meet experts, make new friends and find potential mentors

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A Message from NSCP CEO Melissa Loner

As we count down to the 39th NSCP National Conference, I'm excited to welcome you to this special Conference edition of *NSCP Currents* – and, soon, to welcome so many of you to Orlando.

For nearly four decades, the National Conference has brought compliance professionals together to learn from one another, build meaningful connections and tackle the issues shaping our profession. This year is no exception. From AI and cybersecurity to enforcement trends, digital assets, CCO liability and governance, this year's program reflects both the complexity of the environment you are navigating and NSCP's commitment to providing practical education you can put to work.

But what I'm most looking forward to is the opportunity to be together. The conversations in our Labs and Talk Groups, the perspectives shared by regulators and practitioners throughout the program, and the connections made between sessions are what make this conference – and this community – so special. Our National Conference has always been about learning from people who understand the work because they are doing it alongside you. We truly believe in For Compliance, By Compliance.

That feels especially meaningful this year as we continue bringing NSCP's 2026–2028 Strategic Plan to life. Our mission is to educate, connect and empower the compliance community, with a particular focus on serving the compliance professional of the future. Over the past several months, many of you have shared your experiences, priorities and ideas through our member listening sessions, and those conversations are helping shape where we go next. Our strategic plan was never intended to be a document that sits on a shelf; it is a roadmap we are building with you.

And as we celebrate our 39th National Conference, we're already looking ahead to an even bigger milestone: NSCP's 40th. Nearly four decades of conferences represent generations of compliance professionals sharing their expertise, supporting their peers and strengthening this profession. I can't think of a better time to reflect on how far this community has come, and to be excited about where we're headed next.

I hope you'll take full advantage of everything this year's conference has to offer: ask questions, share what's working, introduce yourself to someone new and bring your perspective to the conversation. NSCP is strongest when our members are active participants in shaping our community and our future.

I can't wait to see you in Orlando as we celebrate 39 years – and begin the countdown to 40.

Sincerely,



Melissa Loner, MBA
Chief Executive Officer | NSCP

On the Road Again – The NSCP National Conference is Heading Back to Orlando!

The NSCP National Conference returns to Orlando for another year of connection, learning, and strategic insight.

After a successful and memorable debut in the Sunshine State last year, the NSCP National Conference returns to Orlando, FL, in 2026. Building on the energy and enthusiasm of our inaugural Orlando event, we are once again bringing together compliance professionals from across the industry for a week of education, regulatory insights, and meaningful networking.

Set against the dynamic backdrop of Central Florida, attendees will experience engaging sessions, timely insights, and valuable opportunities to connect with peers and industry leaders. Whether attending for the first time or returning, the conference continues to offer a strong environment for learning, collaboration, and professional growth.

What sets the NSCP National Conference apart is its focus on strategic compliance. Beyond technical requirements, the program emphasizes how compliance professionals are building stronger programs, managing risk, leading teams, and navigating ongoing regulatory change. The conference is grounded in practitioner-to-practitioner learning, bringing real-world experience and practical solutions directly from those doing the work every day.

Attendees also benefit from perspectives across the broader financial services landscape, along with opportunities for direct engagement with regulators and industry experts. This combination of viewpoints helps create a more complete understanding of today's compliance challenges and how organizations are addressing them in practice.

Equally important is the NSCP community itself. The conference brings together a diverse group of experienced professionals, creating space for meaningful conversation, shared learning, and relationships that extend well beyond the event.

This special edition of *NSCP Currents* highlights key elements of the upcoming conference, including keynote speakers, continuing education opportunities, and networking events, to help attendees plan their experience.

NSCP's National Conference continues to thrive because of the engagement of its speakers, sponsors, exhibitors, and member volunteers. We are grateful for their ongoing commitment to NSCP and the compliance community.

If you haven't yet registered, we encourage you to join us in Orlando for another outstanding year of learning and connection.

REGISTER TODAY

The Conference Agenda – What’s in It for Me?

The 2026 NSCP National Conference is quickly approaching, offering compliance professionals from across the country a premier opportunity to connect, learn, and stay ahead in an ever-evolving regulatory environment. This year’s conference agenda features a dynamic lineup of sessions, panels, labs and talk groups promising valuable insights for professionals at every level. Designed to foster collaboration and knowledge sharing, the conference promises to deliver practical insights and valuable takeaways for firms of all sizes and structures. The following is a glimpse into a few of the key highlights and focus areas attendees can expect at this

Welcome Reception:

Kick off the 2026 NSCP National Conference at the Welcome Reception on Sunday evening, where attendees can relax, network, and celebrate the start of an exciting event. Enjoy light refreshments and connect with colleagues from across the country. It’s the perfect way to settle in and set the tone for a memorable conference experience.

Fireside Chat with NSCP Leadership:

Join us Monday morning for our annual Business Meeting at the National Conference, where we’ll share where we have been and where we are going. This year’s meeting will feature a special fireside chat with our CEO, Melissa Loner, Heather Traeger, Chair of the NSCP Board of Directors, and Jim Papagiannis, Chair Elect. Don’t miss this unique opportunity to hear reflections, insights, and visions for the future from our leadership team.

New Attendee / New Member Session

New to the conference or new NSCP Member? Don’t miss our New Attendee / New Member session, designed to help you get the most out of your experience. Join us for an engaging and informative event featuring themed tables, each hosted by experienced volunteer members who will share insights, tips of the trade, and answer your questions on key topics. It’s a great way to learn, connect, and feel right at home from the start.

Keynote Speakers

There’s value in learning about regulation. There’s even more value in hearing directly from those shaping and overseeing it.

The 2026 NSCP National Conference will feature keynote conversations with FINRA President and CEO Robert Cook and NASAA Executive Director Joseph Brady. Attendees will also hear from C.K. Redlinger, Senior Privacy and Intelligence Advisor at 360 Privacy, who will discuss how threat actors weaponize executive personal information and the risks it can create for organizations.

Come ready to listen, learn, and ask questions. These engaging conversations will offer timely perspectives, practical insights, and a closer look at the regulatory issues shaping the compliance profession today.

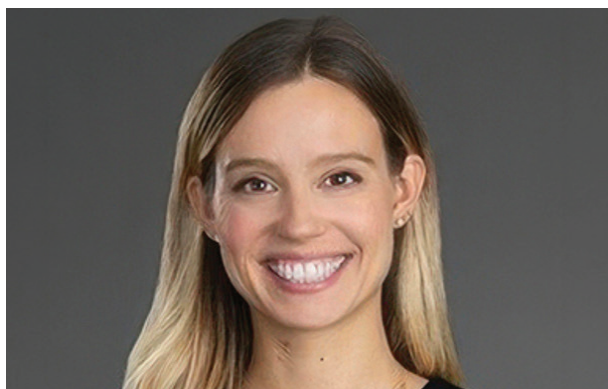
Monday Keynote

A Discussion with Robert Cook, President and CEO, FINRA, Moderated by Brian Rubin, Eversheds Sutherland, LLP



Tuesday Keynote

A Conversation with Joseph Brady, Executive Director, NASAA, Moderated by Jessica McKinney, DLA Piper



Wednesday Keynote

Weaponized Data: How Threat Actors Turn Executive PII into Enterprise Liability – C.K Redlinger, Senior Privacy and Intelligence Advisor, 360 Privacy



Networking Opportunities

Last but certainly not least, there is no shortage of opportunities to connect with other compliance professionals at the National Conference. Breakfast or lunch table discussions are great ways to meet and engage with new people. Make new connections over cocktails and hors d'oeuvres during each of the three evening networking receptions. Join other conference attendees on a 5K Fun Run on Tuesday morning to bond with other runners (and walkers) like yourself or greet the morning on Wednesday with a sunrise yoga session. NSCP conference attendees are socially engaging and will want to meet you, so don't be shy! Everyone benefits from getting to know one another at our highly energized networking events.

[VIEW FULL AGENDA](#)



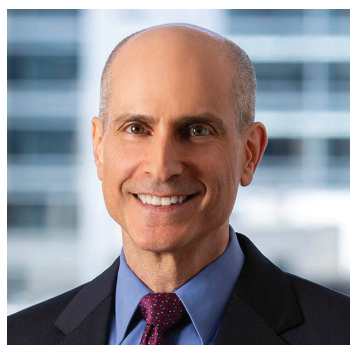
"The NSCP National Conference offers valuable learning opportunities for compliance professionals at every stage of their careers. Between the educational sessions, interactive discussions, and networking with peers, I always come away with new ideas and meaningful connections"

Matt Calabro, Managing Director at Salus GRC

JH Award 2026

The JH Award is NSCP's highest honor, recognizing individuals who have made exceptional lifetime contributions to the financial services compliance profession, as well as sustained meaningful involvement with NSCP.

Named in honor of Joan Hinchman, NSCP's founding Executive Director, the award was established in 2013 to celebrate those who exemplify the values she championed – professionalism, service, mentorship, and excellence in compliance.



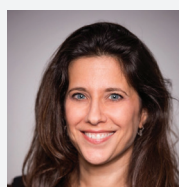
NSCP is proud to announce that Brian Rubin, Partner, Eversheds Sutherland LLP, has been named the recipient of the 2026 JH Award. Brian has been a dedicated volunteer for NSCP and a champion for financial services compliance professionals for many years.

Please join us in October at the NSCP National Conference during Monday's luncheon, as we honor Brian and share his many contributions and achievements in the compliance profession.

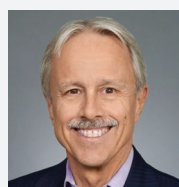
Previous Recipients



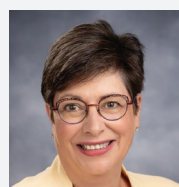
2024
Brad Busscher



2024
Miriam Lefkowitz



2023
Chuck Senatore



2022
Jane Riley



2021
Glen Barrentine



2020
Craig Watanabe



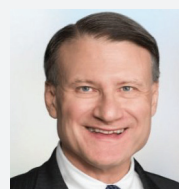
2019
Deborah Lamb



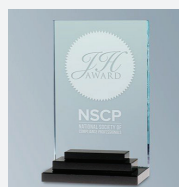
2018
Trish Flynn



2017
Pam Ziermann



2016
Rick Marshall



2015
Paul Ulenhop



2014
Richard Chase



2013
Lori Richards

Maximize your Conference Experience

Be inspired.

The best thing about conferences (besides a break from the daily grind) is the opportunity to get inspired, learn from others, and return to work with a new perspective and renewed energy. Each NSCP speaker and attendee has valuable insight, best practices, and unique experiences to share. Don't be timid in sharing your experiences, successes, and challenges. Talk groups and lunch table discussions are great for this type of engagement.

Stay focused and keep a list.

Work is likely to be a distraction during the conference but set your mind on being fully present and focused during the sessions, so you don't miss all the valuable insights, best practices, and practical tools being shared. Keep a running list of key takeaways from the sessions you attend, and the conversations you have, that can enhance and strengthen your compliance program.

Engage with others.

Make a goal to meet someone new in every session and at every networking event. Be approachable and authentic – but don't wait for someone else to approach you. To get the most out of the conference, you will have to take the initiative to engage with other attendees. Food tables and coffee stations are great places to strike up a conversation with someone you don't know. This conference is the ideal environment to make meaningful and lasting connections within the compliance community, so take advantage of it!

Download before you go.

The conference app is a highly valuable tool to become familiar with prior to the conference. You can view and connect with other attendees, view exhibitors and sponsor information, have the agenda at your fingertips, and access to conference materials. Make sure you download the app before arriving at the conference, so you don't miss anything! Instructions were emailed to registered attendees.

Do your due diligence with the exhibitors.

The exhibit hall is the ideal atmosphere to learn what's new in compliance products and services to help you in areas of efficiency, oversight, technology, and much more. Maximize your time during breaks and receptions by talking to exhibitors to see what they have to offer.

Don't dine alone.

At the end of the conference day, it may be tempting to go back to your room and order room service, but you'd be missing out on a huge networking opportunity. Going to dinner with another attendee or small group of attendees is way more fun than dining alone. Many of the vendors have planned dinner events after NSCP's receptions, so don't miss out connecting with other compliance professionals if you receive an invitation.

Find your niche.

NSCP is a member-driven organization, so your time and talents aren't just needed, they are greatly valued. Find out how you can become more involved in NSCP's compliance community. The National Conference is a great place to hear how other members have contributed and benefited from the vast engagement opportunities, such as writing, speaking, or participating in forums or working committees.

Share your feedback.

The feedback you provide on the speaker evaluations for every session you attend is incredibly helpful to NSCP's Conference Committee. Your input and comments are carefully reviewed when planning the following year's conference, so please be sure to complete all speaker and event evaluations so we can continuously improve the quality of our sessions.

Process and apply your learnings.

After the conference there will be much to process so that you don't forget the valuable information you heard. Spend time reviewing all your notes, as well as the conference materials, even for the sessions you were not able to attend. There are many helpful templates, checklists, and useful tools that the speakers provide, and all will be available to you in a zip file. If you enjoy writing, consider sharing your conference experience and takeaways in an article for *NSCP Currents*. [Submit an article](#)

Stay Connected.

Make a point to follow up with the people you want to stay connected with after the conference. Engage within the NSCP Member Center to share your conference experiences and keep the conversations going.



"I'm looking forward to the 2026 NSCP National Conference because of its robust agenda covering the trends and issues shaping today's compliance profession. The opportunity to gain fresh perspectives and connect with peers facing similar challenges has been invaluable throughout my career."

Janice Powell, MBA, IACCP®, Chief Compliance Officer, Affinex Capital Group



"The NSCP National Conference consistently delivers one of the most comprehensive agendas in the industry, featuring outstanding speakers and practical insights. While it's a great way to stay current, the biggest reason I come back each year is to reconnect with longtime colleagues and build new relationships."

Carig Watanabe, CFP®, AIF®, CSCP, Director of IA Compliance, Diversify Advisory Services LLC. – part of Diversify Advisor Network

NSCP Fun Run (5K)...

Run With Compliance, Not Against It



A Serious Fun Fun

Start your Tuesday morning at the 2026 NSCP National Conference with the **NSCP Fun Run (5K)**, sponsored by **Eversheds Sutherland**.

Whether you're a seasoned runner or just looking for a brisk morning walk, this event is open to all fitness levels and is a great way to get active, have fun, and connect with fellow attendees.

The NSCP Fun Run (5K) will take place on Tuesday morning at 6:30 a.m.

Please note: To participate in the NSCP Fun Run (5K), you must be registered for the 2026 NSCP National Conference.

RACE REGISTRATION

Thank you to Eversheds Sutherland for sponsoring the 5K Fun Run.

EVERSHEDS
SUTHERLAND

Tips for Speaking with Regulators

The National Society of Compliance Professionals (NSCP) has taken a significant step toward fostering collaboration and understanding between the industry and regulators. We have once again extended a warm invitation to regulators this year to attend portions of our upcoming National Conference.

At NSCP, we firmly believe that to create effective regulations, regulators must have a comprehensive understanding of the landscape they oversee. By inviting regulators to our conference, we aim to provide them with a unique opportunity to gain insights directly from compliance professionals, industry leaders, and subject matter experts who navigate the intricacies of regulatory compliance daily.

This invitation is not just about regulators gaining knowledge; it is equally about creating an environment where our valued NSCP conference attendees feel comfortable and supported. We understand that effective regulation requires open lines of communication and a shared understanding of the challenges faced by both regulators and compliance professionals. By bringing everyone together, we can bridge the gap and foster constructive dialogue that leads to better outcomes for all.

Knowing that regulators' attendance at the National Conference may make compliance professionals a bit uncomfortable, we thought the following tips would be helpful when engaging with a regulator.

Be respectful – Regulators are attending NSCP's National Conference for the same reasons you are – to obtain practical education and compliance insights on regulations from industry experts and fellow attendees, learn about industry trends, and participate in networking opportunities. Regulators should be treated with the same respect that you deserve.

Introduce yourself – A regulator may be just as nervous as you are about meeting industry attendees. Meeting others provides the chance to learn about an individual's background, gain unique perspectives, and may even lead to a valuable contact or future business partner.

Be friendly – Have a positive attitude when communicating with a regulator. Keep an open mind and ask thoughtful, open-ended questions that will create an engaging dialogue and build rapport.

Follow up – If you felt comfortable meeting a particular regulator, you may choose to reconnect with them at a later conference session or at a cocktail reception to get their feedback on what they have been hearing and learning at the conference.

Avoid discussing compliance and personnel issues at your firm – Even if you have the best of intentions, discussing compliance and personnel issues at your firm may inadvertently put you and the regulator in an awkward position. Always remember that regulators have an affirmative duty to investigate if they are made aware of potential violations of securities regulations.

Don't ask about rule proposals and adopted rules – Regulators may not want to be put on the spot to be asked about a new rule outside of a session and they typically cannot comment on a proposed rule. Obtaining advice as to how to comply with a rule is best left to your legal counsel. Regulators may have different interpretations of rules, just as compliance professionals do.

Avoid discussing regulatory examinations – If your firm recently went through or is currently going through an examination, do not discuss it with a regulator for the same reasons you should not discuss compliance and personnel issues at your firm.

Engaging with regulators should be a mutually beneficial experience, just as you would engage with other conference attendees. Please welcome them into the NSCP community so that we can all learn from one another's unique perspectives. Enjoy your conference experience!



"The 2026 NSCP National Conference is my go-to event for staying current across the compliance landscape. From investment advisers and broker-dealers to private funds and investment companies, it brings together the topics that matter most. I especially value the interactive lab sessions, insightful regulatory speakers, and the opportunity to reconnect with colleagues from across the industry."

Maureen Kiefer-Goldenberg, Senior Vice President, Compliance at
Mariner Wealth Advisors



"The NSCP National Conference gives me a unique opportunity to connect and collaborate with colleagues from across the industry. Every year, I come away with new ideas and practical insights that help strengthen our compliance program. As our profession continues to evolve, it's reassuring to be part of a community that understands the challenges we face and is committed to helping one another succeed."

Bridget Ward, SVP, Compliance & Legal at Geowealth

Continuing Education at the 2026 National Conference

Attendees can earn Continuing Education (“CE”) credit for attending sessions at the 2026 NSCP National Conference.

CE Credits Available at the 2026 NSCP National Conference

NSCP will once again be offering the opportunity for attendees to receive Continuing Education (“CE”) credit(s) at the 2026 National Conference!

Certificates of Attendance will be issued to those who sign up for Continuing Education when they register for the event AND verify their attendance using their mobile devices camera to scan the QR code upon entering each CE eligible breakout session.

[LEARN MORE](#)

Helpful Information for First-Time Attendees

Welcome to your first NSCP National Conference! We can't wait to meet you in Orlando and have you experience the fullness of the National Conference, from its practical guidance on a wide array of compliance topics to the many networking and personal growth opportunities.

Before You Go:

- Be prepared. Talk to your team and find out what issues they want you to learn about and what type of practical tools are needed.
- Make sure you have pre-registered for all of the sessions you plan to attend.
- Read all the information that will be sent via email prior to the conference.
- Download and utilize the NSCP National Conference App. It contains the full agenda details, speakers, and vendors at the conference. This is also where you'll register for your sessions. Instructions were emailed to registered attendees.
- Get plenty of rest prior to the conference so that you arrive well-rested. You'll be glad you did.
- You may receive invitations to private events by email or through the conference app before the conference. These are excellent opportunities to network with other attendees.

During the Conference:

- Attend the New Attendee / New Member Session on Monday morning at 8:30am, designed to help you get the most out of your experience.
- Be courteous to your fellow attendees and silence your cell phone during sessions.
- You are free to move from one track to another throughout the day, as well as throughout the conference. If you find that a session you have chosen does not suit your needs, we encourage you to move on and find another that does, as long as seating is available.
- Ask questions! Often, the questions you have will benefit others in the room.
- Never underestimate the power of networking! Be open to new experiences and to meeting new people. Some of these new relationships will last a lifetime and may even serve as a referral or important point of contact in the future.
- Pace yourself and take in as much as you can. The National Conference is a large event, but a small community, and you most likely will not be able to do everything.

Getting the Most from the Exhibit Hall:

- Visit all the exhibit vendors even if they don't have a service or product for your needs. One connection and one conversation might lead to other connection opportunities.

Learn How You Can Get Involved:

- Ask questions, learn about current opportunities, and find out how getting involved with NSCP can be both personally and professionally rewarding.

What to Pack:

- Business casual is the suggested attire for attending the conference sessions.
- Bring business cards or a small pad of paper so that you can exchange contact information with the people you meet at the conference.
- Hotels and meeting rooms can be cold, so be sure to bring a sweater or light jacket to wear during the day.
- Comfortable shoes are a must. If you plan on participating in the NSCP Fun Run 5K on Tuesday morning, don't forget to pack your running shoes and if you plan on participating in Yoga on Wednesday morning, make sure to bring comfortable clothing as well!

We hope this information proves helpful. If you have questions, please contact conferences@nscp.org.

More Than Just a Conference

There are plenty of conferences where compliance is part of the conversation. The NSCP National Conference is different: it is built around the people who make compliance happen every day.

This is the conference built for compliance professionals, by compliance professionals.

From investment advisers and broker-dealers to private funds and firms of every size and structure, the NSCP National Conference brings together compliance professionals from across the financial services landscape. That breadth creates something you won't find at more specialized events: the opportunity to step outside your own regulatory or business silo and learn from professionals facing many of the same challenges from different perspectives.

Practical Learning From People Doing the Work

The conference goes beyond discussing what regulators are saying. It focuses on *how compliance professionals are putting requirements into practice*.

Through interactive sessions, panels, labs, talk groups, and peer discussions, attendees can explore real-world challenges, share approaches, and leave with ideas and solutions they can bring back to their firms on Monday morning.

Hear From Regulators—and From Your Peers

Direct access to regulators is an important part of the NSCP experience, providing attendees with perspectives from those shaping and overseeing the regulatory environment. But just as valuable is hearing how other compliance professionals are navigating those requirements in practice.

It's the combination of *regulatory insight and practitioner perspective* that makes the conversation especially valuable.

Find Your Compliance Community

NSCP is more than an educational event. It's a community.

Whether you're looking to exchange ideas with a peer, connect with a compliance leader who has faced a similar challenge, or build relationships that continue long after the conference ends, NSCP creates opportunities to connect throughout the entire event.

Breakfast and lunch discussions, networking receptions, interactive sessions, and informal conversations all contribute to an environment where compliance professionals can learn from—and lean on—one another.

One Conference. Multiple Perspectives.

Other industry events may focus on a particular regulator, business model, specialty, or function. NSCP brings those perspectives together.

Regulatory insight. Practitioner experience. Strategic leadership. Real-world solutions. A community of compliance professionals.

That's what sets the NSCP National Conference apart—and why it remains a place where compliance professionals can come to learn what's happening in the industry, understand how others are responding, and connect with the people doing the work alongside them.

Come for the insights. Stay for the conversations. Leave with practical ideas, new connections, and a stronger compliance community.

Welcome to Orlando!



Over 150 years after its founding, Orlando, Florida has grown into one of the most dynamic and visited cities in the United States. Known globally as the theme park capital of the world, Orlando offers far more than thrill rides—it's also a growing hub for business, technology, hospitality, and culture. Nicknamed “The City Beautiful,” Orlando boasts sunny weather year-round, a thriving food scene, and rich opportunities for exploration and relaxation. We are excited to be hosting the 2026 NSCP National Conference at the elegant **Hyatt Regency** Grand Cypress, located just minutes from the area's top attractions.

Experience Kissimmee!

Make the most of your trip! Experience Kissimmee! has curated a special website for NSCP National Conference attendees and their families, featuring *exclusive discounts* on area attractions, shows, and tours throughout the Kissimmee/Orlando region. You're sure to find something to make your visit even more memorable. Click the link below to explore:

NSCP – A KGS AFFILIATE TICKET SITE

We look forward to seeing you in Orlando!

- [Directions to the Hyatt Regency Grand Cypress](#)
- [Transportation/Getting Around](#)
- Questions? Email info@nscp.org