

# 2022 NASAA Annual Spring Meeting | Public Policy Symposium

## Investor Protection in a Digital Age

InterContinental Washington, D.C. - The Wharf  
May 14-18, 2022

\* *Closed meeting: NASAA members only*

### Saturday, May 14, 2022

**8:00 a.m. - 9:00 a.m.**      **Breakfast**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**9:00 a.m. - 5:00 p.m.**      **Board of Directors Meeting\***  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**10:00 a.m. - 10:15 a.m.**      **Coffee Break**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**12:00 p.m. - 1:00 p.m.**      **Board of Directors Meeting Lunch\***  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**12:00 p.m. - 4:00 p.m.**      **Registration**  
Potomac Hall, 2<sup>nd</sup> Fl.

**3:00 p.m. - 3:15 p.m.**      **Refreshment Break**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**6:30 p.m. - 8:00 p.m.**      **Board of Directors Dinner**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**Arrival Day for Members Attending the Strategic Planning Meeting**

### Sunday, May 15, 2022

**Arrival Day for Members Attending the Business Meeting**

**7:30 a.m. - 3:00 p.m.**      **Registration**  
Potomac Hall, 2<sup>nd</sup> Fl.

**8:00 a.m. - 9:00 a.m.**      **Breakfast**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

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## Investor Protection in a Digital Age

**9:00 a.m. - 5:00 p.m.**      **Strategic Planning Meeting\***  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**10:00 a.m. - 10:15 a.m.**      **Coffee Break**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**12:00 p.m. - 1:30 p.m.**      **Strategic Planning Meeting Lunch**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

**3:00 p.m. - 3:15 p.m.**      **Refreshment Break**  
Seaport Ballroom, 2<sup>nd</sup> Fl.

### Monday, May 16, 2022

**7:30 a.m. - 3:00 p.m.**      **Registration**  
Potomac Hall, 2<sup>nd</sup> Fl.

**7:30 a.m. - 8:45 a.m.**      **NASAA New Member Breakfast**  
Harbor Room, 2<sup>nd</sup> Fl.

**7:30 a.m. - 8:45 a.m.**      **Member Breakfast**  
Potomac Hall, 2<sup>nd</sup> Fl.

**9:00 a.m. - 1:15 p.m.**      **NASAA Business Meeting\***  
Waterside Ballroom 1&2,  
2<sup>nd</sup> Fl.

**10:00 a.m. - 10:15 a.m.**      **Coffee Break**  
Potomac Hall, 2<sup>nd</sup> Fl.

**1:15 p.m. - 2:15 p.m.**      **Business Meeting Lunch**  
Waterside Ballroom 2<sup>nd</sup> Fl.

**3:00 p.m. - 4:30 p.m.**      **Zone Meetings**

**6:30 p.m. - 8:30 p.m.**      **Welcome Reception**  
Algonquian Room, 12<sup>th</sup> Fl.

### Tuesday, May 17, 2022

# 2022 NASAA Annual Spring Meeting | Public Policy Symposium

## Investor Protection in a Digital Age

- 8:00 a.m. - 12:00 p.m.**      **Registration SEC/NASAA 19(d) Conference**  
Potomac Hall, 2<sup>nd</sup> Fl.
- 7:15 a.m. - 8:45 a.m.**      **Breakfast**  
Potomac Hall, 2<sup>nd</sup> Fl.
- 8:15 a.m. - 8:30 a.m.**      **Opening Ceremonies SEC/NASAA 19(d) Conference**  
Waterside Ballroom, 2<sup>nd</sup> Fl.
- 8:30 a.m. - 9:30 a.m.**      **19(d) Conference Session #1**  
Waterside Ballroom, 2<sup>nd</sup> Fl.      **Enforcement Cooperation and Issuers**  
*Federal, State and Provincial Regulators Only*
- 9:30 a.m. - 9:40 a.m.**      **Refreshment Break**  
Potomac Hall, 2<sup>nd</sup> Fl.
- 9:40 a.m. - 10:40 a.m.**      **19(d) Conference Session #2**  
Waterside Ballroom, 2<sup>nd</sup> Fl.      **Broker-Dealer and Investment Adviser Standards of Conduct and Examinations**  
*Federal, State and Provincial Regulators Only*
- 10:40 a.m. - 10:50 a.m.**      **Break**  
Potomac Hall, 2<sup>nd</sup> Fl.
- 10:50 a.m. - 11:50 a.m.**      **19(d) Conference Session #3**  
Waterside Ballroom, 2<sup>nd</sup> Fl.      **Senior Issues and Investor Education**  
*Federal, State and Provincial Regulators Only*
- 12:00 p.m. - 4:00 p.m.**      **Registration Public Policy Symposium**  
Potomac Hall, 2<sup>nd</sup> Fl.
- 12:15 p.m. - 1:00 p.m.**      **Public Policy Symposium: Session 1: Keynote Address from SEC Chair Gary Gensler and Fireside Chat Between Chair Gensler and NASAA President Melanie Senter Lubin**  
Waterside Ballroom, 2<sup>nd</sup> Fl.
- 1:00 p.m. - 2:15 p.m.**      **Public Policy Symposium Luncheon**  
Algonquian Room, 12<sup>th</sup> Fl.
- 2:30 p.m. - 3:45 p.m.**      **Public Policy Symposium: Session 2: Welcoming Remarks and Panel 1: The Implications of New Technologies for Financial Inclusion and Investor Protection**  
Waterside Ballroom, 2<sup>nd</sup> Fl.

**North American Securities Administrators Association**

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# 2022 NASAA Annual Spring Meeting | Public Policy Symposium

## Investor Protection in a Digital Age

### Opening Remarks

Joseph Brady, NASAA Executive Director

### Welcoming Remarks

Karima M. Woods, Commissioner, District of Columbia Department of Insurance, Securities & Banking

### Presidential Address

Melanie Lubin, NASAA President, Maryland Division of Securities

### Public Policy Symposium Panel #1

#### The Implications of New Technologies for Financial Inclusion and Investor Protection

During this session, panelists examine policy issues relating to efforts to expand awareness of and knowledge of our capital markets among investors of all ages and backgrounds. Panelists will discuss and debate opportunities and challenges for using technology to create more access to saving and investing.

### Moderator

- Claire McHenry, Nebraska Department of Banking & Finance, Bureau of Securities

### Panelists

- Bruce Johnson, Financial Technology Association
- Andrew Park, Americans for Financial Reform & Americans for Financial Reform Education Fund
- Cary Martin Shelby, Washington and Lee University School of Law
- Tom Quaadman, U.S. Chamber of Commerce

**3:45 p.m. - 3:55 p.m.**

Potomac Hall, 2<sup>nd</sup> Fl.

### Refreshment Break

**3:55 p.m. - 4:25 p.m.**

Waterside Ballroom, 2<sup>nd</sup> Fl.

### Public Policy Symposium: Session 3: Fireside Chat #2

- Joseph Borg, Alabama Securities Commission
- Rostin Behnam, Chairman, U.S. Commodity Futures Trading Commission

**4:25 p.m. - 4:35 p.m.**

### Break

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**4:35 p.m. - 5:35 p.m.**  
Waterside Ballroom, 2<sup>nd</sup> Fl.

### **Public Policy Symposium: Session 4: Panel 2 Symposium Takeaways for the Policy Community**

Drawing on their own professional experiences, panelists from various industries share their perspectives on the topics explored during NASAA's Public Policy Symposium and provide recommendations for ways we can protect investors in a digital age.

#### **Moderator**

- Justin Burse, Kentucky Department of Financial Institutions

#### **Panelists**

- Michael Piwowar, The Milken Institutes
- Kara M. Stein, The Public Company Accounting Oversight Board
- Urska Velikonja, Georgetown University Law Center

**5:35 p.m. - 5:40 p.m.**  
Waterside Ballroom, 2<sup>nd</sup> Fl

### **Closing Remarks**

**5:45 p.m. - 7:15 p.m.**  
Algonquian Room, 12<sup>th</sup> Fl.

### **Public Policy Symposium Networking Reception**

**Wednesday, May 18, 2022**

**8:00 a.m. - 9:00 a.m.**  
Lobby Nook, Lobby Level

### **Congressional Hill Visit Breakfast**

### **Travel Day For All Members**