

The logo for RegEd, featuring the word "Reg" in a white sans-serif font and "Ed" in a white serif font, set against a blue background.

RegEd

The background of the slide is a composite image. The top portion shows a city skyline with several high-rise buildings under a blue sky with light clouds. The bottom portion shows a beach with a large, dark rock structure in the foreground, and waves crashing against it. The text is overlaid on a dark purple rectangular area in the center.

BRANCH INSPECTIONS: REGULATORY DEVELOPMENTS AND BEST PRACTICES

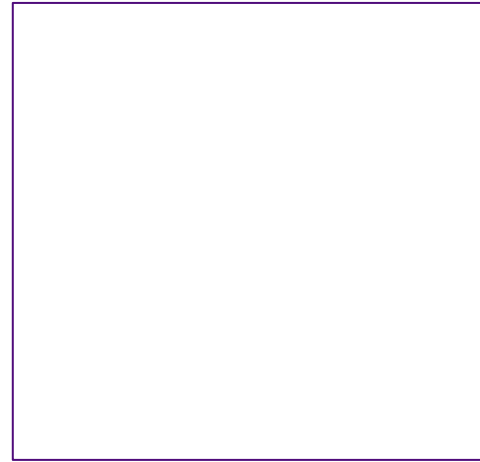
April 25th, 2025 | 11:00 - 11:50am

SPEAKERS



Christina Ciccone

Compliance Director. – Branch Exams
Osaic



Dir. – Field Office Inspections



Brian Heiss

Compliance Examiner
Ameritas Investment Co., LLC



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Managing Director
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AGENDA

- **FINRA Remote Inspections Pilot Program**
- **Residential Supervisory Location (RSL) Exams**
- **Inspection Program Focus Areas**
- **Pre-Inspection Preparation Best Practices**

DISCUSSION TOPICS

- **FINRA Remote Inspections Pilot Program**
- **Residential Supervisory Location (RSL) Exams**
- **Inspection Program Focus Areas:**
 - **Off-channel communications**
 - **Cybersecurity**
 - **Third-party technology oversight**
- **Pre-Inspection Preparation Best Practices**