

## 2025 Securities Compliance Seminar Evaluation Questionnaire

(Please type or write legibly and provide commentary as well as numerical ratings.)

### 1. What is the single most valuable or significant benefit you received from attending this seminar?

Please comment on all the following evaluation points (1a – 1e).

- |  |                                |                                   |                                     |
|--|--------------------------------|-----------------------------------|-------------------------------------|
| 1a. Stated learning objectives were met  | <input type="checkbox"/> Agree | <input type="checkbox"/> Disagree | <input type="checkbox"/> Don't Know |
| 1b. Stated prerequisite requirements were appropriate and sufficient   | <input type="checkbox"/> Agree | <input type="checkbox"/> Disagree | <input type="checkbox"/> Don't Know |
| 1c. Program materials (handouts) were relevant and contributed to the achievement of the learning objectives | <input type="checkbox"/> Agree | <input type="checkbox"/> Disagree | <input type="checkbox"/> Don't Know |
| 1d. Time allotted to each learning activity was appropriate  | <input type="checkbox"/> Agree | <input type="checkbox"/> Disagree | <input type="checkbox"/> Don't Know |
| 1e. Were the instructors effective?  | <input type="checkbox"/> Agree | <input type="checkbox"/> Disagree | <input type="checkbox"/> Don't Know |
- [Please include individual comments beside speaker names below.]

### 2. What else did you like about this seminar? \_\_\_\_\_

### 3. What did you dislike about this seminar, and why? \_\_\_\_\_

### 4. Please evaluate these session topics (Overall Content-1<sup>st</sup> line) & speakers (Individual Knowledge/Delivery-2<sup>nd</sup> line):

[Only speakers, not moderators, are evaluated.]

**5—Outstanding   4—Very Good   3—Good   2—Satisfactory   1—Poor**  
**[In case of late speaker substitutions, cross out the name below and write in the substitute's.]**

#### 1. Key 2025 Legislative/Regulatory Initiatives

Mitchell Atkins	5	4	3	2	1
Carl Fornaris	5	4	3	2	1
Christina Nagy	5	4	3	2	1
Yvette Panetta	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

#### 2. Off-Channel Communications

Nilo Barredo	5	4	3	2	1
Carlos González-Stawinski	5	4	3	2	1
Carolina Rivas	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

#### 3. Cash Sweep Programs

Jarrett Jacobs	5	4	3	2	1
Michael Koffler	5	4	3	2	1
Dan Newman	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

#### 4. AML Converging Requirements

David Byrne	5	4	3	2	1
Kerry Finegan	5	4	3	2	1
Issa Hanna	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

#### 5. Cybersecurity

Matt White	5	4	3	2	1
Sanjay Deo	5	4	3	2	1
Cherice Douglas	5	4	3	2	1
Aldo Leiva	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

#### 6. Regulation BI

Michael Gilliland	5	4	3	2	1
Jason Minard	5	4	3	2	1
Shawn O'Neill	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**7. Elder and Vulnerable Adult Financial Exploitation**

Gary Klein	5	4	3	2	1
Louis Dempsey	5	4	3	2	1
Anna Dennis	5	4	3	2	1
Miriam Lefkowitz	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**8. Internal Audit**

Victor Espinosa	5	4	3	2	1
Fabrcio Caprio Macastropa	5	4	3	2	1
Jay Matos	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**9. Enhancing Operational & Cyber Resilience Through AI**

Paul Adie	5	4	3	2	1
Eduardo Gross	5	4	3	2	1
Cathy Miron	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**10. The Marketing Rule**

Jennifer Selliers	5	4	3	2	1
Trish Flynn	5	4	3	2	1
Christine Ayako Schleppergrell	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**11. Outsourcing to Third Party Vendors**

Bill Reilly	5	4	3	2	1
Keith Bettencourt	5	4	3	2	1
Loren Lopez	5	4	3	2	1
Marc Minor	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**12. Regulatory Forum**

Tiffany Buxton/FINRA	5	4	3	2	1
Joseph Brady/NASAA	5	4	3	2	1
Shawn O'Neill/FINRA	5	4	3	2	1
Thushara Chey Perera/MSRB	5	4	3	2	1
Sara Raisner/A&O Shearman	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**13. AI in the Financial Industry**

Matt White	5	4	3	2	1
Howard Burnston	5	4	3	2	1
Meredith Cordisco	5	4	3	2	1
Alex Koskey	5	4	3	2	1
Mariah Rodriguez	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

**14. Remote Supervision**

Bill Reilly	5	4	3	2	1
Paxton Dunn	5	4	3	2	1
Carolyn Mendelson	5	4	3	2	1
Melinda Wolfe	5	4	3	2	1

What did you like/dislike about this topic and/or these speakers? \_\_\_\_\_

5. What spring conference(s) do you typically attend? \_\_\_\_\_

6. Please list **speakers, vendors or products** you'd like to see at the 2026 Seminar. (Please include firm name/contact info, etc.)

\_\_\_\_\_

\_\_\_\_\_

7. If you are interested in speaking and/or serving on the 2026 Securities Compliance Seminar Program Planning Cmte, please sign your name here and return to Dorcas Pearce. Name: \_\_\_\_\_

Please mail or scan/email to Dorcas Pearce at your earliest opportunity. Thank you.

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