

SATURDAY, OCTOBER 3, 2026	
9:00 a.m. – 5:00 p.m.	Board of Directors Meeting (CLOSED, NASAA Members Only)
12:00 p.m. – 4:00 p.m.	Registration
SUNDAY, OCTOBER 4, 2026	
7:30 a.m. – 3:00 p.m.	Registration
8:00 a.m. – 9:00 a.m.	NASAA Member Breakfast
8:00 a.m. – 9:00 a.m.	Session 1: EDGAR Next Filer Considerations and EFD Update
9:00 a.m. – 12:00 p.m.	NASAA Business Meeting #1 (CLOSED, NASAA Members Only)
12:00 p.m. – 1:00 p.m.	Networking Lunch
1:00 p.m. – 1:45 p.m.	Opening Ceremonies and Welcome Remarks Introductory Remarks • Joseph Brady, Executive Director, NASAA Presidential Remarks • Marni Gibson, President, NASAA Conference Chair Remarks • Kris Kolky, Acting Director, Securities Department, Illinois Secretary of State
1:45 p.m. – 2:50 p.m.	Session 2: Prediction Markets: What Does the Future Hold? As prediction markets grow in popularity and blur the lines between investing and betting, new challenges are emerging. The panel will cover regulatory and legal developments in the oversight of these platforms, potential for abuse including through insider trading, and the importance of robust protections for individuals participating in these markets. Speakers: • Moderator: Amanda Senn, Director, Alabama Securities Commission • Steve Humenik, Executive Vice President, Global Head of Legal for Prediction and Capital Markets, Crypto.com • Sudhir Jain, Chief Compliance Officer & Head of Regulatory Affairs, Kalshi
2:50 p.m. – 3:10 p.m.	Networking Break

3:10 p.m. – 4:10 p.m.	Session 3: Licensing and Registration Forum Members of NASAA's CRD/IARD Steering Committee and CRD/IARD Forms & Process Committee will be joined by the IAR CE Committee and Exams Advisory Committee to provide updates on state regulatory initiatives, the IAR CE and EVEP programs, NASAA's qualification exams, and expungement. The panel will also highlight new developments in the Regulator Workspace. Speakers: • Deborah Fabritz, Director, Professional Registration & Compliance Bureau, Division of Securities, Wisconsin Department of Financial Institutions • Natasha Hurt, Director, Regulatory Systems & Services, NASAA • Jennifer Lerner, Manager, Regulatory Services, NASAA • Melanie Lubin, Commissioner, Securities Division, Maryland Office of the Attorney General • April Odom, Director of Registration, Securities Division, Tennessee Department of Commerce & Insurance
4:10 p.m. – 4:25 p.m.	Networking Break
4:30 p.m. – 5:30 p.m.	Session 4: Investment Adviser Section Forum Please join members of the Investment Adviser Section Committee and project Group chairs for the Section's annual forum to get updates on its activities. Topics will include the Section's Annual Report and survey results along with discussions of policy issues affecting state registered investment advisers. The forum will also cover updates about the IAR CE program; examination validity extension program progress; ongoing regulatory policy projects impacting the industry; and other current Section initiatives.
5:45 p.m. – 7:30 p.m.	Networking Welcome Reception
MONDAY, OCTOBER 5, 2026	
7:30 a.m. – 3:00 p.m.	Registration
7:30 a.m. – 8:30 a.m.	Breakfast
8:30 a.m. – 9:20 a.m.	Session 5: Joint Meeting Between NASAA and the ABA State Regulation of Securities Committee
9:20 a.m. – 9:35 a.m.	Networking Break
9:35 a.m. – 10:50 a.m.	Session 6: Investor Protection in Focus: Are Investor Remedies at Risk? A renewed focus on arbitration, private rights of action, and related regulatory developments is raising broad questions about how investors access remedies when issues arise. This session will examine how market dynamics and regulatory changes are shaping dispute resolution frameworks for investors and shareholders. Discussion topics will include challenges investors face in seeking recourse in the face of emerging products and markets, developments in shareholder rights, updates in securities class actions, and the implications for investor confidence in the capital markets. Speakers: • Moderator: James Nix, Executive Counsel, Securities Department, Illinois Secretary of State • Angela Angelakos, StoneX Group, Inc. • James Tierney, Associate Professor of Law, Chicago-Kent College of Law • Verity Winship, Edwin M. Adams Professor of Law, University of Illinois Urbana-Champaign

10:50 a.m. – 11:05 a.m.	Networking Break
11:05 a.m. – 12:05 p.m.	Session 7: Investor Education Section Forum The Investor Education Forum brings together leaders in investor education to highlight efforts to better engage Gen Z and young investors, strengthen investor protection, and amplify clear, accessible messaging in an evolving information landscape.
12:15 p.m. – 1:35 p.m.	Networking Luncheon with Featured Speaker Featured Speaker: • Jason Zweig, Investing Columnist, <i>The Wall Street Journal</i>
1:40 p.m. – 2:40 p.m.	Session 8: Tokenized Securities: Reshaping Markets and Regulation? Will the tokenization of securities remake capital markets and reshape regulation or will its impact be more modest? One thing is certain, this innovation raises significant questions for regulators, issuers, intermediaries, and investors alike. This session will explore how tokenization is evolving, implications for the capital markets and intermediaries, and consider emerging regulatory frameworks. Cross-border perspectives from the panelists will also highlight how oversight is progressing in jurisdictions outside the U.S. in the face of an increasingly interconnected digital market. Speakers • Moderator: Claire McHenry, Deputy Director, Securities Division, Nebraska Department of Banking and Finance • Hilary Allen, Professor, Washington College of Law, American University • Ryan Clements, Director, Advanced Research & Knowledge Management, Alberta Securities Commission • Jeffrey Davis, Senior Vice President & Senior Deputy General Counsel, Nasdaq, Inc.
2:40 p.m. – 3:00 p.m.	Networking Break
3:00 p.m. – 4:00 p.m.	Session 9: Broker-Dealer Section Forum The Broker-Dealer Section will discuss the ongoing work of the Section and its project groups, including preliminary results from the 2026 broker-dealer coordinated examinations. The Broker-Dealer forum will also discuss preliminary information regarding data collection efforts concerning digital asset treasury companies (DATCOs) and other emerging trends and technologies, including updated state regulatory training in these areas. The Section will highlight its work on enforcement matters and additionally discuss its recent informed investor advisory on financial professional titles. In addition, there will also be an update on regulatory efforts in Canada.
5:30 p.m. – 8:00 p.m.	Networking Reception
TUESDAY, OCTOBER 6, 2026	
7:30 a.m. - 3:00 p.m.	Fall Annual Meeting Registration
8:00 a.m. - 9:00 a.m.	NASAA Member Breakfast
9:00 a.m. - 10:00 a.m.	Fall Meeting Attendees Breakfast
9:00 a.m. - 11:00 a.m.	NASAA Business Meeting #2 (Closed, NASAA members only)
11:15 a.m. - 12:30 p.m.	NASAA Zone Meetings (Closed, NASAA members only)
12:30 p.m. - 1:45 p.m.	Luncheon with Presidential Address and Award Ceremony
2:00 p.m. - 2:15 p.m.	Networking Break

2:15 p.m. - 3:15 p.m.	Session 10: Corporation Finance Section Forum The Corporation Finance Section will discuss the new DPP Advisory Committee and an update on the status of state adoption of the NASAA Statement of Policy Regarding Real Estate Investment Trusts. Other project group updates may be provided. Committee leadership will be available to answer questions and provide updates on efforts by Committee project groups and NASAA members to promote responsible capital formation while enhancing protections for retail investors. Speakers: • Faith Anderson, Director of Securities, Washington Department of Financial Institutions • Peter Cassidy, Associate Director, Chief of Corporate Finance, Massachusetts Securities Division • John Crist, Director of Compliance, Division of Securities, Ohio Department of Commerce • Theresa Leets, Assistant Chief Counsel, California Department of Financial Protection and Innovation • Danielle Mayhew, Legal Counsel, Alberta Securities Commission • Claire McHenry, Deputy Director, Securities Bureau, Nebraska Department of Banking and Finance • Jill Vallely, Attorney, Registration & Regulatory Affairs Unit, Securities Division, Washington Department of Financial Institutions
3:15 p.m. - 3:30 p.m.	Networking Break
3:30 p.m. - 4:30 p.m.	Session 11: Enforcement Section Forum The Enforcement Section will host an open forum to discuss developments, trends in state and provincial securities enforcement, including NASAA's 2025/26 Enforcement Report, and highlight significant state enforcement work. The Enforcement Section's discussion will address cutting-edge enforcement issues involving digital asset schemes, unregistered offerings, cybersecurity, and other emerging technologies and industry developments including prediction markets. Speakers: • Lori Chambers, Deputy Director, Enforcement, British Columbia Securities Commission • Christina Herd, Senior Enforcement Attorney, Securities & Charities Division, Georgia Secretary of State • Anthony Leone, Director, Securities Division, Massachusetts Secretary of State • Shamiso Maswoswe, Chief, Investor Protection Bureau, Office of the Attorney General for the State of New York
6:30 p.m. - 8:30 p.m.	President's Reception