



Contact:
Kaitlin Friedmann
Tel: 609-297-2215
Email: kfriedmann@naibd.org

FOR IMMEDIATE RELEASE

NAIBD to Steer Members Through Challenging Financial Waters at 2011 Fall Symposium

*Keynote Speakers Rick Ketchum and Bill Singer
Offer Diverse Perspectives on Regulatory Issues*

PRINCETON JUNCTION, NJ – October 31, 2011 – Continuing to provide advocacy, education and information to its members, the National Association of Independent Broker/Dealers (NAIBD) will hold its Fall Symposium on November 14, 2011 at Bayard's (The India House) in New York, New York.

This year's Symposium will feature two dynamic keynote speakers. The first speaker Rick Ketchum, Chairman and CEO of FINRA, has almost two decades of experience in regulatory leadership roles. In addition to his role at FINRA, Ketchum is also Chairman of the World Federation of Exchanges' regulatory committee. Ketchum will discuss regulatory issues and trends in the investment management industry during his presentation. The second keynote speaker, Bill Singer, owner of the blog BrokeandBroker.com, is an outspoken critic of ineffective regulation and an advocate for what he calls "economic and political sanity." In his presentation, "The Failed Partnership between Wall Street's Regulated and Regulators," Singer will focus on how the investment management industry got into its current predicament and discuss some ways to get out.

"There will always be regulatory issues that affect the way we do business," said David Sobel, Chairman of NAIBD. "It's important for us to join together and address these issues collectively, learn from them and determine the best ways to move forward to improve the industry."

Attendees will also have the opportunity to participate in the following panels: "Balancing the Job of CEO and CCO," "Do I Really Have to Do This?!" and "Non-Competition Agreements, the Protocol and the Key Updates for Broker/Dealers on Client Solution." An interactive Q&A with Susan Axelrod from FINRA will also take place at the event.

NAIBD was formed in 1979 by broker/dealers who met regularly to discuss areas of common interest such as due diligence, compliance and regulation. The association has introduced new member programs and a heightened focus on independent broker/dealer advocacy, as applications continue to surge in light of the economic environment.

For more information on NAIBD, please visit www.naibd.org.

###

About the National Association of Independent Broker/Dealers (NAIBD)

NAIBD works together with independent broker/dealer owners and principals, industry product and service providers, and the SEC, FINRA and state regulatory organizations to improve the securities industry as a whole. The association recognizes the needs of the industry and its members by hosting national meetings, rapidly distributing critical regulatory details and product/service offers, supplying feedback to SEC, FINRA and state regulators. For more information, please visit www.naibd.org.