

2023 FINRA

Diversity Leadership Summit

Building Strategies to Build Bridges

Oct. 31 – Nov. 2, 2023 | Virtual Event



Program Agenda

Tuesday, October 31

Noon – 1 p.m. ET

CEO Conversation

FINRA President and CEO **Robert Cook** and **Honorable Sharon Bowen**, Chair of NYSE, Director of Intercontinental Exchange, discuss perspectives on the evolution and impact of diversity, equity and inclusion in the financial industry—and the role of Self-Regulatory Organizations (SROs) in this space. FINRA Vice President and Chief Diversity Officer, **Audria Pendergrass Lee** facilitates a question-and-answer session.

Introduction:

- **Carly Griffin**, 2023 Diversity Leadership Summit Co-chair, Director, Office of Regulatory Liaison, FINRA
- **Greg Jones**, 2023 Diversity Leadership Summit Co-chair, Director, Technology, FINRA

Speakers:

- **Robert Cook**, President and CEO, FINRA
- **Hon. Sharon Bowen**, Chair of NYSE, Director of Intercontinental Exchange

Q&A:

- **Audria Pendergrass Lee**, Vice President and Chief Diversity Officer, Inclusion, Recruitment & Workforce Compliance, FINRA

2 – 3 p.m. ET

People with Disabilities and Neurodivergence: Best Practices for Building an Inclusive Culture

During this session, leaders share their stories on how they became advocates working for people with disabilities in the workplace. Panelists share resources and practices that support colleagues with disabilities, including how to be an ally for people with physical disabilities or who are neurodivergent. Learn how building bridges to people with differing abilities can strengthen your workplace.

FINRA

Register today at www.finra.org/finra-diversity-summit

Introduction:

- **Shea Draddy, Examiner**, Examinations – Trading & Execution, FINRA

Speakers:

- **Lesley Marlin (Moderator)**, Associate General Counsel, Labor and Employment, FINRA
- **Anupa Iyer Geevarghese**, Chief of Staff, U.S. Department of Labor Office of Disability Employment Policy
- **Thomas Foley, J.D.**, Executive Director, National Disability Institute

Q&A:

- **Susan Collet**, Director, Office of Government Affairs, FINRA

Wednesday, November 1

Noon – 1 p.m. ET

Calling In Rather Than Calling Out

Our keynote speaker, **Professor Loretta Ross**, an Associate Professor at Smith College, was the 2022 recipient of the MacArthur Foundation "Genius" award. She is an activist, public intellectual, and scholar. Her passion is innovating creative imagining about global human rights and social justice issues. She has also deprogrammed members of hate groups leading to conceptualizing and writing a book on Calling In the Calling Out Culture to transform how people can overcome differences to use empathy and respect to guide difficult conversations.

Introduction:

- **Rainia Washington**, Executive Vice President and Chief Human Resources Officer, People Solutions, FINRA

Speaker:

- **Professor Loretta Ross**, Smith College, Associate Professor

2 – 3 p.m. ET

Bridging the Gap: Keys to Engaging Market Professionals and Investors

During this session, panelists discuss the latest research and best practices for expanding access to and participation in the financial services industry.

Introduction:

- **Ritta McLaughlin**, Director, Investor Education Community Outreach, FINRA Foundation

Speakers:

- **Olivia Valdes, (Moderator)**, Principal Research Analyst, FINRA Foundation
- **Michael Williams**, Founder and President, Williams Group
- **Dean Harman**, Founder and CEO, Harman Wealth Management
- **Angela Fontes**, FINRA Foundation Fellow, and Vice President, Policy and Research Financial Health Network

Q&A:

- **Mitka Baker**, Senior Counsel, Enforcement Legal, FINRA

Thursday, November 2

Noon – 1 p.m. ET

The Role of Artificial Intelligence (AI) in DEI

During this session, panelists discuss the ways to integrate Artificial Intelligence (AI) in an organization's DEI strategy and the advantages and challenges of using AI in the DEI space.

Introduction:

- **Tina Gubb**, Chief Counsel, Enforcement, FINRA

Speakers:

- **Thomas Mellett (Moderator)**, Vice President, Firm Group Examinations FINRA
- **Christian Baldia**, Adjunct Associate Instructor, Columbia University School of Professional Studies
- **Dr. Frida Polli**, CEO, Alethia

Q&A:

- **Tina Gubb**, Chief Counsel, Enforcement, FINRA

2 – 3 p.m. ET

Chief Diversity Officer Roundtable

Drawing on their own professional experiences, panelists share their perspectives on the solutions, innovations and research findings explored during FINRA's Diversity Leadership Summit and provide actionable steps attendees can take to advance diversity, equity and inclusion in the workplace.

Introduction:

- **Audria Pendergrass Lee**, Vice President and Chief Diversity Officer, Inclusion, Recruitment & Workforce Compliance, FINRA

Speakers:

- **Audria Pendergrass Lee (Moderator)**, Vice President and Chief Diversity Officer, Inclusion, Recruitment & Workforce Compliance, FINRA
- **Kim Jenkins**, Chief Executive Officer, The Kim Jenkins Experience
- **William Rolack, Sr.**, Chief Inclusion and Diversity Officer, Kroll

Q&A:

- **Carly Griffin**, 2023 Diversity Leadership Summit Co-chair, Director, Office of Regulatory Liaison, FINRA