Keynote Address
Thursday, September 14
8:35 a.m. – 9:15 a.m.

Speaker: Christopher Stone
Vice President
FINRA Transparency Services

Thomas Ricketts
Chairman
Incapital LLC
Keynote Address Panelist Bios:

**Christopher B. Stone** is Vice President of FINRA’s Transparency Services Department. He is responsible for business and strategic initiatives related to the department’s equity and fixed income market transparency facilities (TRACE, ADF, ORF and the TRF’s). He also represents FINRA on National Market System Plan policy committees and industry working groups. Prior to working at FINRA, he served as the Senior Special Counsel to Division Director Annette Nazareth in the SEC’s Division of Market Regulation. In that role, he supported the Director in connection with major Division initiatives and rulemakings, including Reg NMS, Reg SRO, Reg SHO, and the SRO Structure Concept Release. Mr. Stone previously was a Special Counsel in the Division of Market Regulation’s Office of Market Supervision where he primarily focused on National Market System Plan issues and market structure reform. Before joining the SEC, Mr. Stone worked at a prominent Washington, D.C. law firm focusing on transactional matters. He received his J.D. from the George Washington University Law School and his B.A. from Dartmouth College.

**Tom Ricketts** is the Executive Chairman of the Chicago Cubs and longtime fan of the team. In 2009, he led his family’s acquisition of the team from the Tribune Company. When Tom and his family were introduced as the new owners of the Chicago Cubs, he outlined three goals for the organization: win the World Series; preserve and improve Wrigley Field for future generations; and to be good neighbors, giving back to the city and the team’s North Side neighborhood. The Chicago Cubs won the 2016 World Series and were named by Baseball America as the 2016 Organization of the Year. Tom is on the Executive Council of Major League Baseball. Tom is also the Chairman of Incapital LLC, which he co-founded in 1999. Incapital is an investment bank with underwriting and distribution expertise in a wide range of securities. Incapital has underwritten over $400 billion of securities including corporate bonds, U.S. Agencies, preferred stock, certificates of deposit, mortgage-backed, structured notes and market linked investments. In 2010, Tom was named Ernst & Young’s Midwest Finance Entrepreneur of the Year for his work with Incapital LLC and was on several occasions named by Institutional Investor Magazine as one the 40 most influential leaders in electronic finance. Tom is on the boards of Meijer, Inc., NorthShore University HealthSystem, Choose Chicago, the Field Museum, the Executive’s Club of Chicago, the Economic Club of Chicago and the Wood Family Foundation. Prior to Incapital, Tom worked at ABN AMRO, The Chicago Corporation and Mesirow Financial. He was a market maker on the Chicago Board Options Exchange from 1988 through 1994. Tom has an AB in Economics and an MBA in Finance from the University of Chicago. He was named the Business School’s Young Alumnus of the Year in 2005. Tom and his wife, Cecelia, live in the Chicago area with their five children.
Keynote Address
Panelists

Introduction

- Christopher Stone, Vice President, FINRA Transparency Services

Speaker

- Thomas Ricketts, Chairman, Incapital LLC