



2018 South Region Member Forum

October 18, 2018 | Atlanta, GA

Ask FINRA Senior Staff

Thursday, October 18

2:00 p.m. – 3:00 p.m.

FINRA senior leaders discuss the regulatory environment and a range of topics affecting broker-dealers.

Moderator: Chip Jones
Senior Vice President
FINRA Member Relations and Education

Panelists: Thomas Nelli
Senior Vice President and Regional Director, Sales Practice
FINRA South Region

Yvette Panetta
District Director, Sales Practice
FINRA Boca Raton District Office

Daniel Stefek
Associate Vice President and District Director, Sales Practice
FINRA Atlanta District Office

Erin Vocke
Vice President and District Director, Sales Practice
FINRA Dallas and New Orleans District Offices

Ask FINRA Senior Staff Panelist Bios:

Moderator:

Chip Jones is Senior Vice President of Member Relations and Education for FINRA. In leading the Member Relations and Education Department, Mr. Jones' responsibilities include maintaining and enhancing open and effective dialog with FINRA member firms. Mr. Jones also oversees FINRA's Member Education area, which includes FINRA conferences and other member firm educational offerings such as the FINRA Institute at Georgetown for the Certified Regulatory and Compliance Professional (CRCP)[®] designation. Prior to joining FINRA, Mr. Jones spent six years as Vice President of Regulatory and Industry Affairs at American Express Financial Advisors (AEFA). Previous to AEFA, he spent two years as Advocacy Administrator for the Association for Investment Management and Research (AIMR). Mr. Jones was employed by the Virginia Securities Division as a senior examiner/investigator prior to joining AIMR.

Panelists:

Thomas Nelli was recently named Senior Vice President and South Region Director in FINRA's Boca Raton District Office. Prior to joining FINRA, Mr. Nelli was a Managing Director Deputy Chief Compliance officer in Morgan Stanley Wealth Management Compliance. In this role, Mr. Nelli headed the Investment Products and Services, Advisory, Research Equity, Futures and Options and Fixed Income Compliance Groups. He joined the Morgan Stanley Compliance Department in 1986. During his 31 years with the firm, he has covered almost every aspect of retail brokerage compliance, including Branch Examinations, Surveillance, Policies and Procedures, Futures, Employee Trading, Registration and has served as the firm's Compliance Registered Options Principal and chair of the Heightened Supervision Committee. Additionally, he participates in various industry panels. Mr. Nelli graduated from Brooklyn College with a BS in Psychology in 1985.

Yvette Q. Panetta is District Director in FINRA's Florida District Office located in Boca Raton, Florida where she is primarily responsible for the Member Regulation Examination Program and FINRA's Securities Helpline for Seniors. Ms. Panetta's responsibilities include managing the Sales Practice Examination Programs including Cycle and Cause, and the Surveillance Program. She is also actively involved in several initiatives related to current industry topics. Prior to joining FINRA, Ms. Panetta served as an examination manager with the U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations located in New York. Ms. Panetta received her undergraduate and graduate degrees from Baruch College, The City University of New York where she graduated with honors. Ms. Panetta also holds the title of Certified Public Accountant from the American Institute of Certified Public Accountants.

Daniel J. Stefek is Associate Vice President and District Director of FINRA's Atlanta District Office. The Atlanta office is responsible for the examination and regulation of the FINRA member firms located in Georgia, North Carolina and South Carolina (approximately 180 main offices and 10,500 branches). Mr. Stefek has extensive regulatory experience, starting his career in FINRA's Los Angeles District Office in 1983. While in Los Angeles, he worked in a variety of positions for NASD (FINRA's predecessor), first conducting financial and sales practice examinations, then managing the district's examination programs as Exam Manager and then as Associate Director. Mr. Stefek moved to Georgia in 2004, where he became Director of the Atlanta Office. He received his business degree in finance from the University of Southern California.

Erin C. Vocke is Vice President and District Director of the FINRA Dallas and New Orleans District Offices. Ms. Vocke began her career in 1995 as an examiner in the New Orleans District Office. During this time, she conducted numerous routine and cause examinations of member firms and focused examinations in the areas of variable products and mutual funds. In January 2004, Ms. Vocke became Supervisor of Examiners, where she performed supervisory functions, including reviewing examinations and providing guidance to examiners on case development. In August 2004, she relocated to the Florida District Office. At this time, she assumed responsibilities for supervising Continuing Membership Applications and financial surveillance of member firms, in addition to routine and cause examinations. In June 2007, Ms. Vocke transferred to the Dallas District Office as the Associate Director. In this position, she was responsible for overseeing the District Cycle, Cause, Financial Surveillance and Membership Application Programs. In February 2010, she assumed the role of District Director of the Dallas Office. In

February 2014, she assumed the role of District Director in the New Orleans Office. Ms. Vocke completed the Accelerated Development Program in 2007 and the Certified Regulatory and Compliance Professional™ (CRCP™) designation in 2003. She received a bachelor's degree in accounting from the University of New Orleans.

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