

Ask FINRA Staff

Chip Jones, Senior Vice President of Member Relations, FINRA

Chip Jones is the 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 Wharton for the Certified Regulatory and Compliance Professional (CRCP) designation. In addition, Mr. Jones oversees the FINRA Compliance Resource Provider Program, where FINRA works with companies that offer compliance-related products and services to regulated firms at negotiated discounts. 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 for more than six years prior to joining AIMR. He received a master's degree in business administration and a bachelor's degree from Radford University in Radford, Virginia.

J. Bradley Bennett, Executive Vice President of Enforcement, FINRA

J. Bradley Bennett, Executive Vice President, is responsible for FINRA's Department of Enforcement. In this capacity, Mr. Bennett directs investigating and bringing all formal disciplinary actions against firms and associated persons for violations of FINRA rules and federal securities laws. Mr. Bennett received his undergraduate degree from St. Lawrence University and his law degree from Georgetown University Law Center. He started his career at the SEC as a senior attorney in the Division of Enforcement, focusing on cases of all facets of securities law, including accounting, broker-dealer regulation, tender offers and insider trading.

Cameron Funkhouser, Executive Vice President, FINRA Office of Fraud Detection and Market Intelligence

Cameron Funkhouser is Executive Vice President of FINRA's Office of Fraud Detection and Market Intelligence. He has been with FINRA, formerly known as NASD, since 1984, serving in various roles of increasing responsibility with a focus on the surveillance of securities traded on The Nasdaq Stock Market, New York Stock Exchange, American Stock Exchange and the over-the-counter markets. Mr. Funkhouser has extensive experience conducting securities fraud investigations and is regularly called upon by civil and criminal law enforcement authorities to provide training, technical assistance, investigative/litigation strategy consulting and expert testimony. Currently, he is responsible for overseeing the Office of Fraud Detection and Market Intelligence, which includes the Insider Trading and Fraud Surveillance units responsible for monitoring the trading activity of more than 10,000 publicly traded securities, FINRA's Complaint Center and FINRA's Whistleblower program. Mr. Funkhouser and his staff have been responsible for uncovering numerous cases of Internet fraud, insider trading, market manipulation, Ponzi schemes and other white collar misconduct, which have been successfully investigated and prosecuted by FINRA, the Securities and Exchange Commission and other law enforcement agencies across the country and internationally. He graduated from Georgetown University with a bachelor's degree in business and George Mason University with a law degree. Mr. Funkhouser is a member of the Virginia State Bar.

Jeffrey M. Pasquerella, Vice President and Regional Director, FINRA South Region and Boca Raton District Office

Jeffrey M. Pasquerella is Vice President and Regional Director of FINRA's South Region and the District Office located in Boca Raton. He has been employed by FINRA since August 1999. Prior to joining FINRA, Mr. Pasquerella served as an assistant district attorney in the Westchester County District Attorney's Office for three years. He is a 1993 graduate of Villanova University and a 1996 graduate of Pace University School of Law. Mr. Pasquerella is a member of the New York and Connecticut State Bars.

South Region Compliance Seminar

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November 21, 2014



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- Moderator – Chip Jones, Senior Vice President of Member Relations, FINRA
- Panelist – J. Bradley Bennett, Executive Vice President of Enforcement, FINRA
- Panelist – Cameron Funkhouser, Executive Vice President, FINRA Office of Fraud Detection and Market Intelligence
- Panelist – Jeffrey M. Pasquerella, Vice President and Regional Director, FINRA South Region and Boca Raton District Office



Session Notes