



## WEBINAR

### Panelist Biographies

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#### **Anthony Cavallaro**

Senior Vice President, FINRA Office of Fraud Detection and Market Intelligence

Mr. Cavallaro is a senior vice president and the head of the Central Review Group of FINRA's Office of Fraud Detection and Market Intelligence and is responsible for managing two units that review and investigate regulatory filings, complaints and other matters received regarding violations of SEC and FINRA rules and regulations. Mr. Cavallaro reports to the Department's Executive Vice President and serves on FINRA's Office of the Whistleblower team. Prior to his current role, Mr. Cavallaro was a vice president in the Member Regulation Department and also served in the Enforcement Department of FINRA where he managed two units that investigated and prosecuted violations of securities laws and regulations. Mr. Cavallaro was a vice president at the New York Stock Exchange and began serving at FINRA when NYSE Member Regulation and Enforcement consolidated with NASD to form FINRA in 2007.

Prior to joining the NYSE in 1997, Mr. Cavallaro was an Assistant District Attorney in the New York County District Attorney's Office where he was responsible for investigating and prosecuting various criminal matters including white-collar cases.

Mr. Cavallaro received his law degree from St. John's University School Law and a B.S. in finance from Fordham University, College of Business Administration. He is a military veteran and retired with the rank of major after 20 years of service in the US Army Reserve.

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#### **Sam Draddy**

Senior Vice President, FINRA Office of Fraud Detection and Market Intelligence

Mr. Draddy is a Senior Vice President in FINRA's Office of Fraud Detection and Market Intelligence and head of FINRA's Insider Trading Surveillance Unit. Mr. Draddy joined FINRA in 2007 after more than seven years in the Division of Enforcement at the SEC. At the Commission, he was a Staff Attorney/Senior Counsel in the Division of Enforcement from 1999 through 2004, and then a branch chief in SEC Enforcement from 2005 through 2007. Prior to the SEC, Mr. Draddy was a criminal prosecutor in the State's Attorney's Office for Baltimore County, MD from 1994 through 1999. Mr. Draddy received his B.A. from Brown University in 1987 and J.D. from New York Law School in 1993.

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#### **Joseph Ozag, Jr.**

Director, FINRA Office of Fraud Detection and Market Intelligence

Mr. Ozag is the Director of the Office of the Whistleblower in FINRA's Office of Fraud Detection and Market Intelligence and manages a unit responsible for expediting the review of high-risk tips, particularly those related to potentially fraudulent or illegal activity. Prior to his current position, Mr. Ozag was a director in FINRA's Enforcement Department where he managed a staff of investigators and attorneys who investigated and prosecuted suspected and alleged violations of FINRA's rules and the federal securities laws. Before joining FINRA, Mr. Ozag served as a member of the United States Capitol Police for almost 15 years including over seven years as a detective in the Intelligence Section of the Special Investigations Division.

Mr. Ozag received a Bachelor's degree in Law Enforcement from the University of Maryland, College Park and a Master of Business Administration degree from Mount St. Mary's University in Emmitsburg, Maryland. He also holds the Certified Regulatory and Compliance Professional designation from the FINRA Institute at Wharton.