Financial Industry Regulatory Authority

FINRA Diversity Summit
Wednesday, February 27, 2013
One World Financial Center, Room 1205 A&B
New York, NY

Agenda

7:30 – 8:30 a.m.	Registration and Continental Breakfast
8:30 – 8:35 a.m.	**Welcome** • Julie Crotty, Deputy Director, Mediation and Business Strategy, Co-Chair, Diversity Summit Planning Committee, FINRA • Yolanda Trottman, Examination Director, Risk Oversight and Operational Regulation, Co-Chair, Diversity Summit Planning Committee, FINRA **Introduction** • Cindy Foster, Vice President, Ombudsman, Co-Chair, Diversity Leadership Council, FINRA
8:35 – 8:45 a.m.	**Opening Remarks** • Richard G. Ketchum, Chairman and CEO, FINRA
8:45 – 9:30 a.m.	**Keynote Address and Q&A: Making the Business Case for Diversity and Inclusion Practices** Keynote address is followed by a Q&A session moderated by Rick Ketchum. • James Weddle, Managing Partner, Edward Jones
9:30 – 10:15 a.m.	**Panel I: Updates on Office of Minority and Women Inclusion (OMWI)** This panel provides an overview of the Office of Minority and Women Inclusion, established in July 2011, as required by Section 342 of the Dodd-Frank Act. Panelists will discuss the role and responsibilities of the federal agencies' OMWIs, particularly as it relates to their internal diversity programs and the diversity policies of their regulated entities. • Robert Marchman, Executive Vice President, Market Regulation, Legal, FINRA (moderator) • Sheila Clark, Director, Office of Diversity and Inclusion, Federal Reserve Board • D. Michael (Mickey) Collins, Director, Office of Diversity and Economic Opportunity, FDIC

- Pamela Gibbs, Director, Office of Minority and Women Inclusion, U.S. Securities and Exchange Commission

10:15 – 10:30 a.m. Break

10:30 a.m. – 12:00 p.m. **Panel II: Diversity and Inclusion Best Practices**

In this session, diversity officers and practitioners will share their perspectives on how to effectively build a business case for implementing diversity and inclusion practices. Panelists will also share their views on the "best of the best," including which best practices are the most effective and why.

- Tyronne Stoudemire, Principal, Senior Diversity Consultant, Mercer (moderator)
- Jennifer Brown, Founder and CEO, Jennifer Brown Consulting
- Erika Irish Brown, Senior Vice President, Diversity and Inclusion, Bank of America
- John Kalohn, Vice President, Registration and Disclosure, Co-Chair, Diversity Leadership Council, FINRA
- Nate Saint-Victor, Executive Director, Legal and Compliance, and Chair of the Legal and Compliance Division Diversity & Inclusion Committee, Morgan Stanley

12:00 – 12:30 p.m. **Closing Remarks**

- Cindy Foster, Vice President, Ombudsman, Co-Chair, Diversity Leadership Council, FINRA

Networking Over Coffee