



FINRA DIVERSITY SUMMIT
Innovation to Impact: Energizing Diversity and Inclusion for Organizational Success

March 4, 2014
52 Broadway, New York, NY

Agenda

- | | |
|---------------------|---|
| 8:00 am – 9:00 am | Registration & Continental Breakfast |
| 9:00 am – 9:15 am | Welcome Remarks
Richard G. Ketchum, Chairman and CEO, FINRA |
| 9:15 am – 10:15 am | CEO Perspective: A Conversation with John Rogers and Rick Ketchum
John W. Rogers, Jr., Chairman and CEO, Ariel Investments
Richard G. Ketchum, Chairman and CEO, FINRA |
| 10:15 am – 11:00 am | Allies as Change Agents
Jody Huckaby, Executive Director of PFLAG National (Parents, Families, and Friends of Lesbians and Gays)
Robert A. Marchman, Executive Vice President, FINRA Market Regulation Legal Group |
| 11:00 am – 11:15 am | Break |
| 11:15 am – 12:15 pm | Diversity as an Asset: Strategies for Sustaining a Culture of Diversity and Inclusion
Jimmie Paschall, Executive Vice President and Head of Enterprise Diversity and Inclusion, Wells Fargo & Company
Michele C. Green, Vice President & Chief Diversity Officer, Prudential Financial, Inc. |
| 12:15 pm – 1:15 pm | Networking Lunch |
| 1:15 pm – 2:35 pm | Brain Trust: Sharing Diversity & Inclusion Best Practices
Audria Lee, Director, Diversity and Worklife, FINRA
Katherine Morse, Director, Organizational Talent and Development, FINRA
<ul style="list-style-type: none">• Staying Relevant: Building innovative and fresh ideas to stay competitive and relevant to employees and to the outside world |

- **Business Collaborations:** Partnering with the business to strengthen internal and external relationships for diversity
- **Men as Gender Champions:** Engaging men in the pursuit of gender diversity and balance
- **Branding:** Maximizing and leveraging internal and external communications to boost an organization's diversity and inclusion image
- **Accountability and Incentives:** Linking diversity to compensation, performance and career advancement

2:35pm – 2:50 pm

Break

2:50 pm – 3:25 pm

Influencing the Corner Suite

Eric Grossman, Chief Legal Officer, Morgan Stanley

Susan Axelrod, Executive Vice President, Regulatory Operations, FINRA

3:25 pm – 4:05 pm

Voice of Experience

Sallie Krawcheck, Business Leader, 85 Broads

4:05 pm – 4:15 pm

Closing Remarks

Cindy Foster, Vice President, FINRA

4:15 pm – 4:45 pm

Networking