



Annual Conference

Washington, DC May 27-29, 2015

Plenary Session: Welcome Remarks **Wednesday, May 27** **10:00 a.m. – 10:30 a.m.**

Speakers:

Chip Jones
Senior Vice President
FINRA Member Relations and Education

Rick Ketchum
Chairman and Chief Executive Officer
FINRA

Speaker Biographies:

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.

Richard Ketchum is Chairman and Chief Executive Officer (CEO) of FINRA. Prior to becoming CEO of FINRA, Mr. Ketchum was CEO of NYSE Regulation from March 2006 to March 2009. He served as the first chief regulatory officer of the New York Stock Exchange, a position he began in March 2004. From June 2003 to March 2004, Mr. Ketchum was General Counsel of the Corporate and Investment Bank of Citigroup Inc., and a member of the unit's planning group, Business Practices Committee and Risk Management Committee. Previously, he spent 12 years at NASD and The Nasdaq Stock Market, Inc., where he served as president of both organizations. Prior to working at NASD and NASDAQ, Mr. Ketchum was at the Securities and Exchange Commission (SEC) for 14 years, with eight of those years as Director of the division of Market Regulation. In February 2014, Mr. Ketchum was appointed by President Obama to serve on the President's Advisory Council on Financial Capability for Young Americans. In October 2010, he was appointed by President Obama to serve on the President's Advisory Council on Financial Capability—a group established to promote and enhance financial literacy and capability among Americans. He also served on the Joint Advisory Committee on Emerging Regulatory Issues, a committee created by the SEC and CFTC to review emerging regulatory issues, starting with the market events coming out of the May 2010 so-called "flash-crash."