



2018 FINRA New York Region Member Forum Speaker Biographies

Kevin Bogue joined FINRA in January 2017 as a Regulatory Principal in the Chicago District Office. Mr. Bogue is a member of the Sales Practice Cybersecurity team responsible for examining firms' controls over their protection of sensitive client and firm information. Prior to joining FINRA, Mr. Bogue has more than 17 years of information technology (IT) and security experience working as a technology consultant with Accenture, as an internal Global IT auditor, IT Compliance Manager and SOX Program Manager with Abbott Laboratories, as an IT Compliance Manager with Brunswick and as an internal IT Audit Manager with CDW. Mr. Bogue earned an MS in Information Systems from DePaul University in Chicago, IL and a BS in Psychology from Iowa State University in Ames, IA.

John Brady is Vice President in Technology for Cyber and Information Security for FINRA, and is the organization's Chief Information Security Officer (CISO). In this capacity, he is responsible for all aspects of FINRA's information and cyber security programs, as well as ensures compliance with related laws and regulations. He oversees staff focused in four primary information security areas: security architecture and controls, security management tools, application security, and identity management. Mr. Brady, along with counterparts in FINRA's Data Privacy Office, establishes policy and technical controls to ensure information is appropriately protected throughout its lifecycle. He began his career with FINRA more than 10 years ago as the Director of Networks and Firewalls. He then broadened and deepened his technical knowledge by taking on responsibility for server and storage infrastructure, where he led system engineering efforts to expand capacity and performance of Market Regulation systems in response to data volumes growing more than 40 percent year over year. Mr. Brady recently led the establishment, design, and implementation of FINRA's new data centers and the seamless migration of more than 175 applications from an outsourcer to those new data centers. Prior to the commencement of his work with FINRA in October 2002, Mr. Brady was Director of Networks at VeriSign from 2000 to 2002 and Network Solutions from 1998 to 2000. From 1995 to 1998, he built and operated Citibank's Internet Web and email services as Vice President, Internet Services. From 1993 to 1995, Mr. Brady worked for Sun Microsystems as Senior Consultant, where he built integrated network systems for prominent customers. Mr. Brady began his professional career as a member of technical staff at The Aerospace Corporation from 1987 to 1993, designing satellite systems and command and control networks for the Air Force Space Command. Mr. Brady holds a bachelor's degree in Computer and Electrical Engineering from Purdue University of West Lafayette in Indiana, and a master's degree in Industrial Engineering and Operations Research from the University of California at Berkeley. He also is an (ISC)² Certified Information Systems Security Professional (CISSP).

Steve J. Bucchere is a principal regulatory coordinator in FINRA Member Regulation, Sales Practices. Mr. Bucchere has been with FINRA since March 2014 and prior to working at FINRA he was employed at Merrill Lynch for 12 years where he was the FinOp for Merrill Lynch Government Securities. Mr. Bucchere has more than 25 years of experience in the financial services industry having roles in Finance, Accounting and Operations Management. Mr. Bucchere graduated from Bernard M. Baruch – City University of New York with a degree in Finance with a concentration in Accounting.

Anthony Carillo is a senior regulatory coordinator for FINRA's NY Sales Practice Surveillance Program. He joined FINRA in September 2015 as Senior Examiner in the Member Regulation Sales Practice Division. Mr. Carillo's prior professional experiences included roles as a CFO for Sharewave, LLC; Controller for International Bioimmune Systems, Inc.; Vice President in the Bank Structure and Control Division for Merrill Lynch; Financial Reporting and Risk Manager for ITOCHU International Inc. and Audit Manager specializing in Financial Services for KPMG Peat Marwick. Mr. Carillo graduated from Queens College in 1985 with a B.A. in Accounting and is a CPA.

Paul Carroll is a principal regulatory coordinator in Member Supervision – Sales Practice. He began his compliance career with NASD in 2000 as an Examiner and was one of the original members of the Long Island District Office. From 2003-2013, Mr. Carroll served as the CCO and FinOp at an institutional broker-dealer, where he held the Series 4, 7, 24, 27, and 87 licenses. He rejoined FINRA at the end of 2013 in his current role within Long Island District Office. Mr. Carroll is a graduate of Stony Brook University with a BA in Economics.

Andrew Clipper is a principal regulatory coordinator at FINRA having joined in 2013 as a Principal Examiner. Mr. Clipper is also a Regulatory Specialist for Broker Dealer and Investment Advisor Activities. Prior to joining FINRA, Mr. Clipper was North America Head of Product Management and Development at Citibank Wealth Management Services. Prior to joining Citi, Mr. Clipper was the Director of Separately Managed Accounts for Evergreen Investments division of Wachovia Corporation, Eastern Divisional Sales Manager for separate accounts with Merrill Lynch Asset Management, Director of health care investment banking for Oppenheimer & Co., Inc., and an Equity Research Analyst covering the health care industry for Eberstadt Fleming. Mr. Clipper has a Master of Business Administration in Finance and a Master of Public Health in Health Administration from Columbia University, and a Bachelor of Science from the State University of New York.

Hazel Cohen is a principal regulatory coordinator in Member Regulations – Sales Practice. Ms. Cohen has been with FINRA for 14 years. Ms. Cohen has completed the Series 27 and has 26 years of industry experience in regulatory reporting with major clearing firms including Paine Webber, EF Hutton, Dillon Read, UBS and CIBC World Markets. Ms. Cohen has a Bachelor's of Science degree in Accounting from Brooklyn College.

Lisa Colone serves as Chief Counsel in FINRA's Enforcement Department, overseeing the work of the Enforcement Staff in FINRA's North Region. She joined FINRA in 2016 and served as Senior Regional Counsel in FINRA's North Region until her promotion to Chief Counsel in May 2018. Prior to joining FINRA, Ms. Colone served as Deputy Chief of the Criminal Division at the U.S. Attorney's Office for the District of New Jersey. In that role, Ms. Colone supervised more than 35 Assistant U.S. Attorneys in the Office's Economic Crimes Unit, Asset Forfeiture and Money Laundering Unit, and General Crimes Unit. Prior to her promotion to the position of Deputy Chief, Ms. Colone served as the Chief of the General Crimes Unit at the U.S. Attorney's Office. Ms. Colone also served as the lead prosecutor on numerous criminal prosecutions. Ms. Colone graduated from the University of Virginia and the University of Virginia School of Law. Prior to joining the U.S. Attorney's Office, she was an associate at Cleary Gottlieb LLP. Ms. Colone also clerked for the Honorable Catherine C. Blake, U.S. District Judge for the District of Maryland.

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation. From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on over 2,000 rule filings and new product listings each year from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing more than 30 major rulemaking actions and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure. Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner based in the Washington, DC, office of an international law firm. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters. Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.

Tanya Crosbourne is a principal regulatory coordinator in District 10 - Member Regulation Department and has been with FINRA for more than 14 years. She is a Certified Public Accountant, Chartered Global Management Accountant and has more than 20 years' experience in Financial Services and Auditing. Prior to joining FINRA, Ms. Crosbourne worked in Financial Services as a Controller and Audit Manager. She also served as an Adjunct Professor at City University of New York. Ms. Crosbourne earned her

undergraduate degree from Pace University and her MBA from St. John's University. She is a member of NYSCPA, AICPA & NABA.

Davine Davids has been with FINRA as a regulatory coordinator since March 2013. Prior to FINRA, Mr. Davids was a Senior Consultant at Milestone Advisory Services, a boutique management consulting firm focused on the financial services industry, from 2007 to 2012. From 2005 to 2007 Mr. Davids was an Auditor at the National Futures Association, a self-regulatory organization with a focus on the commodities industry. Mr. Davids earned a BBA in International Business and MSc in Financial Statement Analysis and Securities Valuation from Baruch College, Zicklin School of Business.

Karen Davis is a principal regulatory coordinator in District 10 - Member Supervision Department. She joined FINRA more than 13 years ago. Prior to joining FINRA, Ms. Davis worked as an Assistant Controller and Vice President at a major financial institution. She earned her undergraduate degree from Pace University in Public Accounting and her MBA in Finance from Long Island University.

John Edmonds is currently an Examination Manager for the FINRA New York Municipal Examination Team. The team was created in 2013 to conduct Municipal examinations of Firms in New York City that engage in Primary Municipal Market activities, and/or Firms that conduct significant Secondary Market trading of Municipal Securities. Mr. Edmonds began his career with NASD, (now FINRA) as an Examiner in 1997. He has been an Examination Manager in the New York District Office since 2000.

Kristin Ferrante is a principal regulatory coordinator in Member Regulations – Sales Practice. Ms. Ferrante joined FINRA eight years ago. Prior to FINRA, she served as Vice President within the compliance function at Citi Alternative Investments. Prior to that, she began her career as an examiner at the New York Stock Exchange. Ms. Ferrante graduated from Syracuse University with a degree in Finance and Economics.

John C. Gardini, 46, has been a registered representative for 25 years and principal for 21 years, joining American Capital Partners, LLC as Compliance officer in June 2003 and has been their Chief of Compliance since October 2012. His responsibilities at American Capital Partners include assuring regulatory compliance for all firm activities, liaison between the home office and branch offices, trade surveillance and updating and maintaining the Written Supervisory Procedure Manual. Mr. Gardini is also an Anti Money Laundering officer for American Capital Partners. He is a principal and compliance officer for Partners Capital Services, Inc. a registered investment advisor since 2006. Prior to joining American Capital Partners, Mr. Gardini was an Assistant Treasurer of Compliance for Bank Julius Baer & Co. Ltd./Julius Baer Securities Inc. As a manager in the compliance department his responsibilities included customer account surveillance for suitability, trading activity and document management. His duties also included updating and maintenance of the bank and securities manuals as well as submission of regulatory filings. Mr. Gardini received a Bachelor of Science in Business Administration from the State University of New York at Stony Brook in 1994. He obtained the Series 7 in 1993, the Series 24 in 1996, and has held the Branch Manager and Operations Manager positions in boutique firms in previous positions.

Scott M. Gilbert is a senior director with FINRA and is responsible for the New York District's large firm sales practice examination program and the District's cause examination program. From 2004 through 2013, Mr. Gilbert was employed at UBS Financial Services Inc. in various roles including Executive Director and Head of Compliance for the Wealth Management Advisor Group of UBS, with responsibility for compliance matters and policies relating to the broker-dealer's financial advisors. From 2006 through 2010, he was Senior Associate General Counsel and head of the group responsible for internal investigations and disciplinary recommendations at UBS. In that role, he advised the firm's management in all aspects of issues related to employee compliance with firm policies and industry rules, regulations and laws. From 2000 to 2004, Mr. Gilbert was Vice President and Senior Counsel with Merrill Lynch & Co., where he was responsible for global regulatory matters and internal investigations. Before that, he was a trial counsel with the Division of Enforcement of the New York Stock Exchange, responsible for enforcing the rules of that self-regulatory organization, investigating customer complaints and prosecuting disciplinary actions. He also was previously a litigation attorney in private practice, with a focus on complex commercial litigation and securities class actions. Mr. Gilbert is a graduate of Columbia University and New York University School of Law.

Josh Hergan serves as Second Vice President and Chief Compliance Officer for Park Avenue Securities, Guardian Life's wholly-owned multi-billion-dollar broker-dealer and registered investment adviser. He first joined Guardian's Law Division in 2013, where he served as lead counsel for Park Avenue. In his current role at Park Avenue, Mr. Hergan is responsible for managing the overall compliance framework for the firm's broker-dealer and registered investment adviser. He works to ensure the firm's compliance with all FINRA, SEC, ERISA and state-specific rules and regulations by providing necessary guidance pertaining to the firm's activities. In this capacity, he also oversees the design, documentation and execution of the firm's compliance policies and controls. Mr. Hergan is regularly involved in the review and implementation of new regulatory initiatives impacting Guardian and Park Avenue Securities and provides expertise to senior firm leadership on regulatory compliance. Prior to joining Guardian, Mr. Hergan was Director and Counsel for AXA Financial, where he advised business executives on legal and regulatory issues of AXA Advisors, LLC, the affiliated broker-dealer and investment advisor of AXA Equitable. He also provided counsel for AXA Advisors President, COO and other senior executives on structuring, distribution, business development, operations, sales and marketing matters. Previously, Mr. Hergan was a Senior Associate at McCormick & O'Brien, LLP, where he counseled broker-dealers, registered representatives, investment advisors, hedge funds and other securities professionals regarding SEC, FINRA and CFTC registration along with other compliance-related issues. He joined McCormick & O'Brien upon his departure from Bernstein Levine Cherney, LLP, where he similarly advised clients of the broker-dealer and investment advisor services group on compliance with securities laws and regulatory requirements. Prior to attending law school Mr. Hergan was a registered representative at Neuberger Berman Group LLC. He holds a J.D., with honors, from New York Law School and a B.A. in Economics from the University of Colorado at Boulder.

John Hickey is Deputy District Director for the FINRA New York District Office. He supports the Director in leading and managing the Cycle and Branch regulatory programs for approximately 1000 member firms. Additionally, he works with the Regional Director, District Director, Associate District Directors and Surveillance Directors to develop and implement strategic and tactical measures necessary to ensure timely, high-quality completion of the District's regulatory programs. Prior to this role, Mr. Hickey served as an Associate Director at FINRA and managed a unit of approximately 23 individuals responsible for conducting cycle, cause and branch examinations of several member firms. Mr. Hickey has more than 19 years of regulatory experience while employed at FINRA and prior to that at NASD and has worked as an examiner, supervisor and manager during his career. Before joining NASD, he spent three years in the Operations Department at a clearing firm, where he worked in the Margin Department. Mr. Hickey has a bachelor's degree in Management from University of Rhode Island. Mr. Hickey also holds the Certified Regulatory and Compliance Professional™ (CRCP™) designation.

Lana Idelchik is a principal regulatory coordinator in FINRA Member Regulation, District 10. Ms. Idelchik has been with FINRA in a Regulatory Coordinator role for 14 years. Ms. Idelchik is a Certified Public Accountant and, prior to joining FINRA, spent five years working at Margolin, Weiner & Evens LLP, public accounting firm, as a Forensic Accountant and Litigation Consultant. Ms. Idelchik began her career at the New York City Department of Investigations where she was part of the Investigative Audit Unit and conducted fraud investigations involving multiple New York City agencies. Ms. Idelchik graduated from Brooklyn College with a BS in Accounting.

William Jakob has been a regulatory coordinator with FINRA for the past three years. Prior to joining FINRA, Mr. Jakob worked in sales and operations roles at UBS Financial Services and TD Bank. Mr. Jakob graduated from Marist College with a B.S. in Finance, and completed his Masters of Business Administration at Hofstra University.

Melissa Keller is a principal regulatory coordinator for FINRA. Ms. Keller's responsibilities include monitoring the financial, operational, and sales practice condition of assigned member firms and providing firms with regulatory and procedural guidance. Ms. Keller is also one of FINRA's National 15a-6 Regulatory Specialists. Prior to joining FINRA, Ms. Keller spent five years as the Chief Compliance Officer and Financial Operations Principal at Swedbank First Securities LLC. She has held several management positions at U.S. subsidiaries of foreign-owned financial institutions. Ms. Keller is a Certified Public Accountant in New York State and earned a BS and MS in Accounting from the University of Tennessee.

Christopher Kelly serves as Senior Vice President of Sales Practice Enforcement within FINRA's Enforcement Department. As Senior Vice President, Mr. Kelly oversees the work of the Enforcement Staff

in 14 FINRA District Offices throughout the country. He joined FINRA in 2014 and served as Chief Counsel in FINRA's North Region until early 2018. Prior to joining FINRA, Mr. Kelly served as Deputy Chief of the Criminal Division at the U.S. Attorney's Office for the District of New Jersey. In that role, Mr. Kelly supervised more than 35 Assistant U.S. Attorneys in the Office's white collar units: Economic Crimes, National Security, Healthcare and Government Fraud, and Cybercrime. Prior to his promotion to the position of Deputy Chief, Mr. Kelly served as the Chief of the Economic Crimes Unit at the U.S. Attorney's Office, where he oversaw the Office's prosecution of complex economic crimes, including crimes involving insider trading, securities fraud, tax evasion, bank fraud, corporate fraud and embezzlement. Mr. Kelly also served as the lead prosecutor on numerous criminal prosecutions. Mr. Kelly graduated from Duke University and Harvard Law School. Prior to joining the U.S. Attorney's Office, he was an associate at the law firm Dechert LLP. Mr. Kelly also clerked for the Honorable Joseph E. Irenas, U.S. District Court Judge for the District of New Jersey.

Evelyn Kriegel has been Deputy District Director for FINRA's Long Island Office since 2014. Ms. Kriegel has spent her 30-year career in regulation starting as a Financial Operational Examiner with NYSE Regulation. Ms. Kriegel has held many roles in her career including Regulatory Coordinator, Manager of Investor Complaints/Qualifications & Registrations and Surveillance, as well as Associate Director in the cycle examination program upon the merger with NASD in 2007. As an Associate Director, Ms. Kriegel managed a team that was responsible for handling cycle, branch and cause exams for an assigned group of firms. Ms. Kriegel is a graduate of Iona College in New Rochelle with a degree in Finance.

Henry Kugaczewski is currently Managing Regulatory Coordinator and Regulatory Specialist (Operations, Clearance, Settlement). Mr. Kugaczewski has been employed in the securities industry since 1993 with the exception of one year where he returned to private security contractor work following the events of September 11th. Over 17 years of his career has been spent in compliance/regulation; including 12 years at FINRA. Prior to joining FINRA, Mr. Kugaczewski worked as an Examiner in Member Regulation at the New York Stock Exchange, Senior Manager in Risk Compliance at Morgan Stanley, and in the International Departments of Morgan Stanley, Pershing, and Bankers Trust. Mr. Kugaczewski has a B.S. in Economics from Monmouth University.

Kay Lackey is Chief Counsel for Sales Practice Enforcement in New York. Prior to joining FINRA, Ms. Lackey was the Head of Litigation and Regulatory Investigations at NatWest Markets for nine years. She also worked at the Securities and Exchange Commission in New York for 14 years. She was hired as a staff attorney and when she left, Ms. Lackey was the Co-Head of Enforcement in the New York Office. While at the SEC, Ms. Lackey worked on and supervised numerous enforcement actions involving a variety of areas, including financial fraud, stock options backdating, insider trading, market timing and late trading, Ponzi schemes, and market manipulation. Prior to working at the SEC, Ms. Lackey was a law clerk for the Honorable Nathaniel M. Gorton of the United States District Court for the District of Massachusetts and the Honorable Juan R. Torruella of the United States Court of Appeals for the First Circuit. Ms. Lackey received her J.D. from Boston University Law School and her B.A. from Williams College.

John Livreri is a principal regulatory coordinator for FINRA Member Regulation, Sales Practice. Mr. Livreri's responsibilities include monitoring and evaluating the financial, operational and sales practice conditions of FINRA member firms. Prior to joining FINRA in January 2011, Mr. Livreri was at LaBranche & Company, as the Controller for LaBranche Structured Products LLC, from 2006 to 2010. Mr. Livreri has spent his career primarily working in accounting, finance and operations roles. He has worked at both large and small broker dealer firms alike, for more than 30 years. Mr. Livreri graduated from the City University of New York at Queens College, with a degree in Accounting.

Yana Martova has been a principal regulatory coordinator with FINRA since 2013. Prior to FINRA, Ms. Martova spent more than seven years as an examiner and exams supervisor with the National Futures Association. Prior to joining the Regulatory industry, Ms. Martova spent three years as a commodities trader. Ms. Martova holds a BBA in Finance from Pace University.

Joan McGimpsey is a principal regulatory coordinator in Member Supervision. She has been with FINRA for more than 19 years, beginning her career in the former Member Firm Regulation division of the New York Stock Exchange. Ms. McGimpsey graduated from Fordham University with a BA in Economics.

Pratibha Mirchandani is Managing Regulatory Coordinator, and has been in the Surveillance Unit for the past eight years. Ms. Mirchandani has been with FINRA for a total of 22 years. Prior to joining FINRA, Ms. Mirchandani was employed as a Tax Accountant and also at Citigroup (Citibank.N.A.-Wealth Management and Business Finance division). Ms. Mirchandani graduated from Hunter College with a B.S. in Accounting.

Ted Palladino has been with FINRA in a Regulatory Coordinator role for 10 years. Prior to joining FINRA he was the Controller and Treasurer for Independent Financial Marketing Group. Mr. Palladino was responsible for all financial, regulatory and budget reporting for five consolidated companies with two of them being broker dealers. Mr. Palladino started his career at Bankers Trust Company where he held various positions in internal audit and the controller's department. After Bankers Trust Company, Mr. Palladino was the Controller for a joint venture, Global Processing Alliance, between Bankers Trust Company and First Union Bank. Mr. Palladino graduated from Manhattan College with a BS in Economics and from Long Island University with a MBA in Accounting.

Joanne Pinelli is a principal regulatory coordinator in Member Regulations – Sales Practice. Ms. Pinelli has been at FINRA for 18 years, beginning her career in the former Member Firm Regulation division of the New York Stock Exchange. She has also worked in the Internal Audit Department at the Dime Savings Bank. Ms. Pinelli has a Bachelor's of Science degree in Accounting from Hofstra University.

Alina Rabinovich-Kalman is a principal regulatory coordinator within Member Regulations. Prior to being a Regulatory Coordinator, Mrs. Rabinovich-Kalman was a Sales Practice Examiner within the Member Regulations Department. Prior to joining FINRA, Mrs. Rabinovich-Kalman was an analyst within the Costing and Credit & Collections Departments for VF Corporation. Mrs. Rabinovich-Kalman graduated from Stony Brook University with a BS in Applied Mathematics.

Catherine Shipley is a principal regulatory coordinator in FINRA Member Regulation, District 10. Ms. Shipley has been in the regulatory coordinator role for approximately six months. Prior to joining FINRA Ms. Shipley was a Chief Compliance Officer for a NY metro regional bank's affiliated broker-dealer. She was responsible for managing the Compliance Department at the FINRA registered retail broker-dealer and the SEC registered RIA. Ms. Shipley's prior experience includes senior compliance roles at varied broker-dealer channels including; an international wirehouse, national independent contractor broker-dealer and insurance affiliated broker-dealers. Ms. Shipley has also previously served as a remediation specialist and senior compliance liaison during a large domestic independent contractor broker dealer's acquisition of an insurance affiliated broker-dealer. Ms. Shipley graduated from Marist College with a B.S. degree in Business with a concentration in Finance.

Raymond Sims is a principal regulatory coordinator in FINRA District 10, Member Regulation Department and has been with FINRA since 2014. Prior to joining FINRA, he was employed by Fred Alger & Company as their Chief Compliance Officer. He started his career at Merrill Lynch and also worked on the Trading Floor of the NYSE as a Trading Clerk. Mr. Sims graduated from St. Joseph's College with an Accounting degree.

Michael Solomon joined FINRA in December 2011 as senior vice president and is the senior regional director of FINRA's New York, Philadelphia, Boston, and Woodbridge-NJ District Offices. Mr. Solomon has responsibility for the Examination and Surveillance Programs in the region. Prior to FINRA he served as managing director and general counsel for litigation, regulatory and employment law at Jefferies & Co. Prior to joining Jefferies, Mr. Solomon managed the Regulatory Group at UBS Financial Services from 2004 to 2006. Before that, he managed the Regulatory Examinations and Inquiries Group at Merrill Lynch from 1999 to 2004, and has also served as an associate at Morgan, Lewis & Bockius, trial counsel in the NYSE Enforcement Division and NY County assistant district attorney. Mr. Solomon received his J.D. in 1989 from New York University School of Law and received an undergraduate degree from Wesleyan University.

William St. Louis is District Director of FINRA's New York and Long Island offices and manages the sales practice examination and surveillance staff in those offices. Prior to assuming this role in June 2014, he was the Regional Enforcement Chief Counsel for FINRA's North Region where he managed Enforcement staff in FINRA's New Jersey, Boston, and Philadelphia offices. He joined the company in 1998 and spent several years in a variety of Enforcement roles in New York including service as a Deputy

Regional Chief Counsel. Mr. St. Louis earned a B.A. from Baruch College and a law degree from New York University School of Law. Prior to law school he worked in the Compliance Department of a regional broker-dealer.

George Steers is a principal regulatory coordinator in Sales Practice and has been with FINRA for 14 years. Prior to joining FINRA, he spent 12 years with Intercapital Securities as an Assistant Controller with a CPA and a Series 27 license. Prior to working at Intercapital, he spent three years as a Senior Auditor at E&Y. Mr. Steers has a Bachelor of Arts degree from Lake forest College in Economics and English and attended the Pace University Graduate School of Business for required courses to sit for the CPA exam.

Thomas Strafacci started as a Regulatory Coordinator with FINRA this year and is a recent graduate of The College of New Jersey (TCNJ), achieving a dual-major with a B.S. in Finance and a B.A. in Economics. While at TCNJ, he was an intern at the United States Securities and Exchange Commission (SEC) in the Broker-Dealer Examination program of the Office of Compliance, Inspections & Examinations. At the SEC, he was responsible for analyzing trade flow data to identify potentially illegal activity in financial markets, while aiding senior management in the pre-examination preparation processes through his research. During his senior year, he also worked as a Teaching Assistant for “Higher Education and American Society”, a course designed to discuss and analyze the private and social benefits, and attainability, of higher education for both students and society as a whole. Along with this, he worked as a Research Assistant under a Management Professor in the School of Business. In this role, he was responsible for the collection and analysis of data regarding the banking industry, FinTech, and technological innovation in the Financial Industry, for a case study that his Professor was preparing regarding the banking processes of the Bank of China when compared to banks throughout the United States.

Richard Tarr has been a regulatory coordinator with FINRA since August 2015. Over the past several years, he has gained valuable insight into a large variety of broker-dealers as well as relevant rules and regulations. Mr. Tarr continues to look for opportunities to enhance his knowledge of the industry through his surveillance of member firms. Mr. Tarr graduated from SUNY Binghamton in May 2015 with a B.S. in Economics and a specialization in Finance. In college, Mr. Tarr spent several semesters as a teaching assistant for economics courses and wrote an honors thesis on the changes in the Federal Funds Market since 2008.

Thomas J. Textor is a principal regulatory coordinator in Member Regulation, Sales Practice. Mr. Textor has been with FINRA since May 2016, prior to working at FINRA, Mr. Textor was at TD Ameritrade, Inc. as the Chief Compliance Officer for the clearing affiliate. Acting as the Chief Compliance Officer from June 2011 to February 2016, Mr. Textor managed the overall Compliance program, was responsible for Customer Complaint Reporting pursuant to FINRA Rule 4530, responses to regulatory requests, coordination of all regulatory exams, Licensing and Registration, and assisted with the coordination of the firm’s BSA/AML Program. From June 2010 to June 2011, Mr. Textor was Director of Compliance Operations for Penson Financial Services, Inc. There he was responsible for managing the reviews for the following areas; Portfolio Margining, Mutual Fund Trading, Reg SHO, Licensing & Registration CEO Certification, Employee Trading and the maintaining/updating the Firm’s Written Supervisory Procedures. Mr. Textor has more than 20 years’ experience, the last 10 of which have been in various leadership roles within the financial services industry. Of note, Mr. Textor was Senior Director – AML Compliance Officer at Ridge Clearing & Outsourcing Solutions, Inc. (“Ridge”) before joining Ridge, Mr. Textor was the Chief Compliance Officer of TD Waterhouse Investor Services, Inc. Mr. Textor began his career at Prudential Securities, Inc. where he held various positions, including Metropolitan Compliance Officer and Assistant Manager of Market Surveillance. Mr. Textor graduated from the State University of New York at Cortland with a degree in History.

Justin Triolo is Associate District Director with FINRA’s District 10 New York office and has been with FINRA since April 2004. In his role, Mr. Triolo manages approximately 25 staff members, including Examination Managers and Examiners, who are responsible for conducting cycle and branch office examinations of member firms. Mr. Triolo started his career in Regulation as an Examiner with the Sales Practice Review Unit of NYSE Regulation. Prior to joining FINRA, Mr. Triolo was a Senior Analyst for Novations, and responsible for quality assurance testing, curriculum development and training for the

Competitive Positions Group of the NYSE. Mr. Triolo has a Bachelor of Arts degree from Gettysburg College.