



## 2019 FINRA Midwest Region Member Forum

October 3, 2019 | St. Louis, Missouri

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### **Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Director of Member Relations and Education John Veator**

**Thursday, October 3, 2019**

**9:05 a.m. – 9:35 a.m.**

**Speakers:**

John Veator  
Senior Director  
FINRA Member Relations and Education

James Wrona  
Vice President and Associate General Counsel, Regulatory  
FINRA Office of General Counsel

**Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Director of Member Relations and Education John Veator Panelist Bios:**

**Speakers:**

**John Veator** is Senior Director in FINRA's Office of Member Relations and Education. His duties include advising firms on FINRA initiatives, rules and resources. He also collects feedback from the industry and advocates for changes to FINRA's programs where appropriate. Previously, he was a senior counsel in FINRA's Regulatory Policy Office, where he advised FINRA exam staff on rule interpretations and conducted administrative actions. He was also a senior staff member of FINRA's Registration and Disclosure Department, where he advised on state securities laws and processes. Prior to joining FINRA, Mr. Veator served as the North American Securities Administrators Association's (NASAA) Deputy General Counsel and was NASAA's Acting General Counsel when he left the association to join NASD. Mr. Veator received his bachelor's degree from Colgate University and his JD from Vanderbilt Law School.

**James S. Wrona** is Vice President and Associate General Counsel for FINRA in Washington, DC. In this role, he is responsible for various policy initiatives, rule changes and litigation regarding the securities industry. Mr. Wrona formerly was associated with the law firm of K&L Gates LLP, where his practice focused on complex federal litigation. He also previously served as a federal law clerk for the Honorable A. Andrew Hauk of the United States District Court for the Central District of California (Los Angeles). Mr. Wrona is a frequent speaker at securities and litigation conferences and author of numerous law review articles, including *The Best of Both Worlds: A Fact-Based Analysis of the Legal Obligations of Investment Advisers and Broker-Dealers and a Framework for Enhanced Investor Protection*, 68 Bus. Law. 1 (Nov. 2012); *The Securities Industry and the Internet: A Suitable Match?*, 2001 Colum. Bus. L. Rev. 601 (2001).

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# Speakers

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- **John Veator, Senior Director, FINRA Member Relations and Education**
- **James Wrona, Vice President and Associate General Counsel, Regulatory, FINRA Office of General Counsel**