



## 2019 FINRA Midwest Region Member Forum

October 3, 2019 | St. Louis, Missouri

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### Welcome and Opening Remarks

Thursday, October 3, 2019

9:00 a.m. – 9:05 a.m.

**Speaker:** Ed Wegener  
Senior Vice President and Midwest Regional Director, Sales Practice  
FINRA Midwest Region

### Speaker Biography:

**Ed Wegener** is Senior Vice President and Midwest Regional Director for FINRA. In that role, he is responsible for leading the department of Member Regulation's regulatory efforts for the region including its surveillance and examination programs. Mr. Wegener started with FINRA (fka NASD) in 1998. Since that time, he has lead or been involved in several significant fraud, sales practice and financial and operational examinations and investigations. He has served in a leadership role in a number of key strategic initiatives for the organization including the design and implementation of FINRA's risk-based, offsite, cybersecurity and digital asset examination programs. FINRA is responsible for regulating brokerage firms and licensed brokers doing business in the United States. The Midwest Region covers firms and individuals conducting securities business in the states of Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin. FINRA's Midwest Region is made up of approximately 130 surveillance and examination staff. Mr. Wegener is a graduate of Illinois State University and he has a Certified Regulatory and Compliance Professional™ designation from the FINRA Institute at the Wharton School of the University of Pennsylvania. He is also a Certified Anti-Money Laundering Specialist and Certified Fraud Examiner. Mr. Wegener has completed the FINRA Leadership Program at the Wharton School and the Leadership Development Program at the Center for Creative Leadership.

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# Panelist

## ■ Speaker

- **Ed Wegener, Senior Vice President and Midwest Regional Director, Sales Practice, FINRA Midwest Region**