



2019 Advertising Regulation Conference

October 24—25 | Washington, DC

Plenary Session I – Welcome Remarks

Thursday, October 24, 2019

10:00 a.m. – 10:05 a.m.

Speaker: Thomas Pappas
Vice President, Advertising Regulation
FINRA Advertising Regulation

Speaker Biography:

Thomas A. Pappas is Vice President of the FINRA Advertising Regulation Department, which regulates the advertisements, sales literature and correspondence used by FINRA member firms. His responsibilities include rule development, management of the filing and surveillance programs and related enforcement activities. He served in the same role at NASD before its 2007 consolidation with NYSE Member Regulation, which resulted in the formation of FINRA. He was previously registered with Davenport & Company LLC. He received a bachelor's degree from The University of Richmond and an MBA from Virginia Commonwealth University.



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- **Thomas Pappas, Vice President, Advertising Regulation, FINRA Advertising Regulation**