



Fireside Chat

Wednesday, December 18, 2019

2:30 p.m. – 3:30 p.m.

Introduction: Robert Cook
President and Chief Executive Officer
FINRA

Moderator: Robert Colby
Executive Vice President and Chief Legal Officer
FINRA Chief Legal Office

Speakers: Dalia Blass
Director, Division of Investment Management
U.S. Securities and Exchange Commission (SEC)

Peter Driscoll
Director, Office of Compliance Inspections and Examinations (OCIE)
U.S. Securities and Exchange Commission (SEC)

Brett Redfearn
Director, Division of Trading and Markets
U.S. Securities and Exchange Commission (SEC)

Fireside Chat Panelist Bios:

Introduction:

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.

Moderator:

As Chief Legal Officer of FINRA, **Robert Colby** oversees FINRA's rulemaking, interpretive, and corporate legal functions, as well as FINRA's Advertising, Corporate Financing and Dispute Resolution Departments, and FINRA's Appellate Office. Before joining FINRA, Mr. Colby was a partner in the law firm of Davis Polk & Wardwell LLP, where he advised on regulatory and compliance matters involving securities and derivatives for financial institutions and markets. Before joining Davis Polk, Mr. Colby served as Deputy Director in the Securities and Exchange Commission's Division of Trading and Markets. In that capacity, he was responsible for the regulation of broker-dealers, securities markets and clearing organizations. Before serving as Deputy Director, Mr. Colby was Chief Counsel of the Division of Trading and Markets, and Chief of the Division's Branch of Market Structure. Mr. Colby received his J.D. *cum laude* from Harvard Law School and his undergraduate degree *summa cum laude* from Bowdoin College.

Panelists:

Dalia Osman Blass was named the U.S. Securities and Exchange Commission's Director of the Division of Investment Management in September 2017. Ms. Blass previously served in a number of leadership roles in the Division of Investment Management. Ms. Blass returned to the SEC as Director of the Division of Investment Management in September, 2017 from private practice, where she advised on a broad range of investment fund, private equity, and regulatory matters. Earlier in her career, Ms. Blass practiced corporate law in New York and London. Ms. Blass earned a J.D. from Columbia University School of Law. She received her B.A. in international studies from the American University and studied political science at the American University in Cairo.

Peter Driscoll was named Director of the U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations (OCIE) in October 2017, after serving as Acting Director since January 2017. Before that, he served as OCIE's first Chief Risk and Strategy Officer since March 2016, and was previously OCIE's Managing Executive from 2013 through February 2016. He joined the Agency in 2001 as a staff attorney in the Division of Enforcement in the Chicago Regional Office and was later a Branch Chief and Assistant Regional Director in OCIE's Investment Adviser and Investment Company examination program. Prior to the Agency, Mr. Driscoll began his career with Ernst & Young LLP and held several accounting positions in private industry. He received his B.S. in Accounting and law degree from St. Louis University. He is licensed as a certified public accountant and is a member of the Missouri Bar Association.

Brett Redfearn was named the U.S. Securities and Exchange Commission's Director of the Division of Trading and Markets in October 2017. Mr. Redfearn joins the SEC from J.P. Morgan, where he was Global Head of Market Structure for the Corporate and Investment Bank. Mr. Redfearn has a long history in the U.S. equity markets, having worked with investors, exchanges and broker-dealers. During his

career, he has focused on how technology, regulation and business trends are changing trading patterns across asset classes and geographic regions. He has helped build electronic trading products, worked closely with exchanges and other trading venues as these products evolved, and engaged with global asset managers on major regulatory developments. He has also been a frequent contributor at policy forums surrounding U.S. equity markets, and has been an active participant at several meetings of the SEC's Equity Market Structure Advisory Committee. He has served as Chairman of SIFMA's Equity Markets and Trading Committee and was a participant on the Security Traders Association (STA) Market Structure Analysts Committee and the Canadian STA (CSTA's) Trading Issues Committee. Previously, Mr. Redfearn has served on the boards of Bats Global Markets, BATS Exchange, the National Organization of Investment Professionals, the Chicago Stock Exchange, and BIDS Trading. Mr. Redfearn earned his M.A. in political science from the New School for Social Research and his B.A. from the Evergreen State College in Olympia, Washington.



2019 FINRA

Regulation Best Interest Conference

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- Peter Driscoll, Director, Office of Compliance Inspections and Examinations (OCIE), U.S. Securities and Exchange Commission (SEC)
- Brett Redfearn, Director, Division of Trading and Markets, U.S. Securities and Exchange Commission (SEC)