



2019 FINRA RegTech Conference

January 17 | New York, NY

**Fireside Chat With FINRA Chief Legal Officer Robert Colby and Andrew Gray,
Depository Trust & Clearing Corporation (DTCC)
Thursday, January 17
11:00 a.m. – 11:30 a.m.**

Introduction: Haimera Workie
Senior Director
FINRA Emerging Regulatory Issues

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

Andrew Gray
Managing Director and Group Chief Risk Officer
Depository Trust & Clearing Corporation (DTCC)

Fireside Chat With FINRA Chief Legal Officer Robert Colby and Andrew Gray, Depository Trust & Clearing Corporation (DTCC) Panelist Bios:

Introduction:

Haimera Workie is Senior Director responsible for heading up FINRA's Office of Emerging Regulatory Issues, which focuses on analyzing new and emerging risks and trends related to the securities market. Previously, Mr. Workie served as Deputy Associate Director in the Division of Trading and Markets at the U.S. Securities and Exchange Commission. In this capacity, Mr. Workie was tasked with developing a variety of Dodd-Frank Act related rulemakings, supervising policy matters related to market intermediaries and financial market utilities, and representing the Commission before several international standard setting bodies. Mr. Workie also previously served as Counsel to Commission Chair Mary Schapiro. Prior to joining the Commission, he was an associate at the law firm of Skadden, Arps, Slate, Meagher & Flom, with a practice focusing on corporate law. He is a graduate of the Massachusetts Institute of Technology (B.S., M.S.) and Harvard Law School (J.D.).

Speakers:

Robert L.D. Colby is Chief Legal Officer of the Financial Industry Regulatory Authority (FINRA), which he joined in June 2012. In this capacity, he oversees FINRA's corporate and regulatory General Counsel functions as well as FINRA's Advertising and Corporate Financing Departments and the Office of Hearing Officers. Previously, Mr. Colby was a partner in the Washington, DC, office of Davis Polk & Wardwell LLP, where he advised on regulatory and compliance matters involving securities and derivatives for financial institutions, markets and clearing organizations. Before joining Davis Polk in 2009, Mr. Colby served for 17 years as Deputy Director of the U.S. Securities and Exchange Commission's Division of Trading and Markets. In that role, he was responsible for the regulation of broker-dealers, securities markets and clearing organizations. Previously, for 11 years he was Chief Counsel of the Division and Chief of the Division's Branch of Market Structure.

Andrew Gray is Managing Director, Group Chief Risk Officer, with global responsibility for all aspects of DTCC's Risk Management, including Credit, Market & Liquidity Risk, Operational Risk Management and Systemic Risk, Information Security and Technology Risk Management, Business Continuity Management and Global Security Management. Andrew also has responsibility for DTCC's Enterprise Data Management program. Prior to this role, Mr. Gray served as Managing Director, Core Business Management, with overarching responsibility for DTCC's businesses, including Clearance and Settlement of Equities and Fixed Income products, Asset Services, Wealth Management Services, Insurance & Retirement Services, Omgeo and Data Services as well as the firm's Marketing & Communications function. Mr. Gray serves on the Board of the International Securities Services Association (ISSA) and is a member of the Board of Trustees of Global Association of Risk Professionals (GARP). Before joining DTCC in September 2009, Mr. Gray spent more than a decade with Merrill Lynch. Most recently, he served as Managing Director and Chief Operating Officer for Merrill's Latin American and Canadian businesses. Prior to that, he was a Managing Director in Strategy and Business Development for Merrill's Global Markets and Investment Banking businesses and for Global Securities Research & Economics. Previously, Mr. Gray was a principal at Booz-Allen & Hamilton, the global management consulting firm.



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