



2019 FINRA RegTech Conference

January 17 | New York, NY

Regulators' Viewpoint on RegTech

Thursday, January 17

9:45 a.m. – 10:45 a.m.

As the industry leverages new technologies to assist with compliance, regulators are adjusting and adapting their own supervision and surveillance processes. Join our panel of regulators as they discuss what is shaping their agendas and perspectives on the use and adoption of RegTech tools. Panelists discuss how they are exploring innovative technologies to assist with their supervision and surveillance efforts, and how they are examining firms and their use of RegTech tools.

Moderator: Haimera Workie
Senior Director
FINRA Emerging Regulatory Issues

Panelists: Nick Cook
Head of RegTech and Advanced Analytics
Financial Conduct Authority (FCA)

Jeffrey Fortune
Examination Director
FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

Michael Pieciak
President
North American Securities Administrators Association (NASAA)

Regulators' Viewpoint on RegTech Panelist Bios:

Moderator:

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.).

Panelists:

Nick Cook, Head of RegTech & Advanced Analytics, leads the FCA's RegTech activities, including the FCA's TechSprint events - the first events of their kind convened by a financial regulator. He is responsible for creating the FCA's Analytics Centre of Excellence to drive the organization's use of data science, machine learning and artificial intelligence. Mr. Cook is the FCA's representative on the European Securities and Markets Authority's (ESMA) Financial Innovation Standing Committee and an advisor to the RegTech for Regulators Accelerator Programme. Mr. Cook joined the Financial Services Authority (the FCA's predecessor) in 2009, initially in its Enforcement and Market Oversight Division. Prior to joining the regulator, Mr. Cook qualified as a chartered accountant at KPMG Forensic.

Jeffrey Fortune is Examination Director in FINRA Member Regulation, responsible for managing the Alternative Net Capital and IT examination programs. Prior to his current role, Mr. Fortune was a Surveillance Director within Member Regulation and served as Risk Lead for the Operational and Customer Protection risks. Prior to his tenure at FINRA, Mr. Fortune worked in the Regulatory Reporting areas at both Lehman Brothers and Merrill Lynch, performing the Net Capital and Reserve Formula computations. At Lehman Brothers, Mr. Fortune also served as Vice President of Operations Control, primary responsible for the firm's compliance with Possession & Control. Mr. Fortune holds a bachelor's degree in Accounting from St. Peter's College.

Michael S. Pieciak is commissioner of the Vermont Department of Financial Regulation. He was first appointed commissioner by Gov. Peter Shumlin in July 2016 and reappointed by Gov. Phil Scott in January 2017. Commissioner Pieciak serves as the chief regulator of Vermont's financial services sector, including the insurance, captive insurance, banking and securities industries. Commissioner Pieciak previously served as deputy commissioner of the Department's Securities Division. Commissioner Pieciak is President of the North American Securities Administrators Association, member of the National Association of Insurance Commissioners and Conference of State Bank Supervisors and served on the SEC Advisory Committee on Small and Emerging Companies. Prior to his service with the Department, Commissioner Pieciak practiced law in New York City at Skadden, Arps, Slate, Meagher & Flom LLP in the Mergers and Acquisitions Group, gaining experience in commercial transactions, corporate governance and investment and financing transactions. Commissioner Pieciak graduated *cum laude* from Union College with a degree in political science. He received his law degree *summa cum laude* from the University of Miami School of Law where he served as editor-in-chief of the *Miami Law Review*.



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