



2019 FINRA West Region Member Forum

March 6 | Denver, CO

Welcome and Opening Remarks

Wednesday, March 6

9:00 a.m. – 9:05 a.m.

Speaker: Lance Burkett
District Director, Sales Practice
FINRA Denver District Office

Speaker Biography:

Lance Burkett, FINRA District Director, began his securities industry career in 1993 as a Securities Fraud Investigator for the State of Arizona Securities Division, working exclusively on fraud cases involving broker-dealers. Later, at a FINRA member firm, he was responsible for supervising Producing Branch Managers and Field Representatives as the Field Compliance Director. Throughout his tenure with FINRA, Mr. Burkett has held positions ranging from Compliance Examiner, responsible for examining FINRA member firms for general compliance, to District Director, responsible for the management and oversight of the regulatory programs within the Denver District office. In addition to his regulatory responsibilities, Mr. Burkett earned his Certified Regulatory and Compliance Professional™ designation through the FINRA Institute at Wharton and has developed content and presented at several FINRA Institute class offerings.

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Panelist

■ Speaker

- **Lance Burkett, District Director, Sales Practice, FINRA Denver District Office**