

2021

ACCESS & IMPACT
CONFERENCE



Gauging the Participation of Diverse Communities in the Capital Markets

Join the FINRA Investor Education Foundation, FINRA's Office of the Chief Economist, and NORC at the University of Chicago for a discussion with leaders in academia, industry, and regulators to explore original academic and industry research and the current body of policy governing diversity, equity, and inclusion in the capital markets. During this event, panelists examine methods and impacts of increasing access or reducing impediments to the provision of financial services to diverse communities.

Agenda

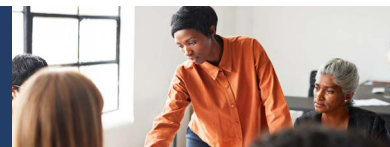


Friday, October 22

All times are listed in Eastern Time

10:00 a.m. – 10:05 a.m.	Welcome Remarks: Robert Cook and Gerri Walsh
10:05 a.m. – 10:45 a.m.	<p>▶ Keynote Conversation: Expanding Capital Markets Access in Diverse Communities</p> <p>Moderator: Ritta McLaughlin, FINRA Foundation</p> <p>Speakers: Gerri Walsh, President, FINRA Foundation Noel Andrés Poyo, Deputy Assistant Secretary for Community Economic Development, Office of Domestic Finance, United States Department of the Treasury Camille Busette, Director of Race, Prosperity, and Inclusion Initiative and Senior Fellow in Governance Studies, Brookings Institution, and FINRA Board Member and FINRA Foundation Board Member</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 12:15 p.m.	<p>▶ Gaps and Consequences</p> <p>In this session, researchers discuss some of the most critical gaps and consequences of inclusion, or the lack thereof, in capital markets. Topics include racial and ethnic demographic trends for investors, entrepreneurship, fintech, use of alternative financial services and socialization.</p> <p>Moderator: Gary Mottola, FINRA Foundation</p> <p>Panelists: Kyung Min Lee, George Mason University Black Entrepreneurs, Job Creation, and Financial Constraints Kyoung Tae (KT) Kim, University of Alabama Decomposition of Racial/Ethnic Differences in the Alternative Financial Services Market Participation Chris Brummer, Georgetown Law, Agnes N. Williams Research Professor FinTech and the Future of Financial Services Olivia Valdes, FINRA Foundation Bridging the Divide: A Closer Look at Changes in the Racial and Ethnic Composition of Investor Households Kenneth White, University of Georgia How Financial Socialization Messages Relate to Financial Management, Optimism and Stress: Variations by Race</p>

Agenda *(con't)*



12:15 p.m. – 12:30 p.m.	Break
12:30 p.m. – 1:15 p.m.	<p>▶ Addressing Market Access (Part 1—Research)</p> <p>This session presents current research examining the role of financial services in diversity and inclusion in capital markets, including advances in technology, advertising and the availability of financial advice.</p> <p>Moderator: Lori Walsh, FINRA Office of the Chief Economist</p> <p>Researchers Perspectives:</p> <p>Stanislav Sokolinski, Rutgers University Does Automation Democratize Asset Management</p> <p>Will Gerken, University of Kentucky Where is the Intersection of Madison Avenue and Wall Street? Advertisement, Local Access to Investment Advice, and Stock Market Participation</p> <p>Christopher Clifford, University of Kentucky Trust and Race: Evidence from the Market for Financial Advice</p>
1:15 p.m. – 1:30 p.m.	Break
1:30 p.m. – 2:20 p.m.	<p>▶ Addressing Market Access (Part 2—Industry)</p> <p>Industry firms explore innovative approaches to increasing market access for underserved communities, including scouting programs, the use of non-traditional platforms and the democratization of wealth building opportunities.</p> <p>Moderator: Mark Lush, NORC at the University of Chicago</p> <p>Industry Perspectives:</p> <p>David Richardson, Managing Director of Research, TIAA Institute</p> <p>Adam Minehardt, Director, Federal Government Affairs, Citigroup</p> <p>Kai Walker, Head of Inclusion Transformation, Retirement & Personal Wealth Solutions, Bank of America</p>
2:20 p.m. – 2:30 p.m.	▶ Closing Remarks: Dr. Angela Fontes , NORC at the University of Chicago

Registration



How to Register

To register, visit [our website](#) and complete the online registration form using your credit card. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

Conference fees include attendance to all sessions and conference materials.

Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment.

Please note: Access instructions will be sent within 24 hours of the start of this virtual event.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

Press

This event is open to the media.

Speaker List as of 10/19/21



Name	Company
Chris Brummer	Georgetown Law
Camille Busette	Brookings Institution and FINRA Foundation Board Member
Christopher (Chris) Clifford	University of Kentucky
Robert Cook	FINRA
Angela Fontes	NORC at the University of Chicago
Will Gerken	University of Kentucky
Kyoung Tae (KT) Kim	University of Alabama
Kyung Min Lee	George Mason University
Mark Lush	NORC at the University of Chicago
Ritta McLaughlin	FINRA Investor Education Foundation
Adam Minehardt	Citigroup
Gary Mottola	FINRA Investor Education Foundation
Noel Andrés Poyo	United States Department of the Treasury
David Richardson	TIAA Institute
Jonathan Sokobin	FINRA Office of the Chief Economist
Stanislav (Stas) Sokolinski	Rutgers Business School
Olivia Valdes	FINRA Investor Education Foundation
Kai Walker	Bank of America
Gerri Walsh	FINRA and FINRA Investor Education Foundation
Lori Walsh	FINRA Office of the Chief Economist
Kenneth White	University of Georgia