



2022 Annual Conference

May 16 –18 | Washington, DC | Hybrid Event

Diversity and Inclusion

Tuesday, May 17, 2022

3:00 p.m. – 4:00 p.m.

As the focus on diversity and inclusion in the financial services industry increases, it is important that employers attract, develop and retain the best talent of all backgrounds. This session aims to increase the awareness of diversity and inclusion and explains how to promote and maintain a diverse and inclusive culture within our firms and industry.

Introduction: Robert Cook
President and Chief Executive Officer
FINRA

Speakers: Roel C. Campos
Senior Counsel
Hughes Hubbard & Reed LLP

Audria Pendergrass Lee
Vice President, Talent Acquisition and Chief Diversity Officer
FINRA Human Resources

Diversity and Inclusion Speaker 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.

Speakers:



Roel C. Campos is senior counsel in the firm's Washington, DC, office. Mr. Campos' practice consists of advising senior management and boards in their most sensitive and complex issues. His practice often involves conducting internal investigations and defending matters involving financial regulators, such as the SEC, DOJ, CFTC, and FINRA. He also advises boards on items such as cybersecurity, governance, cryptocurrency and proposed rulemakings by financial regulators. Beginning in 2002, Mr. Campos was appointed twice by President George W. Bush and confirmed by the US Senate as a Commissioner of the SEC, serving until 2007. During his tenure, Mr. Campos presided over hundreds of complex enforcement cases and rulemakings, involving the full range of federal securities laws. Prior to being appointed to the SEC, Mr. Campos raised venture capital with partners, was a senior executive and operated a radio broadcasting company. He began his career after graduating from the US Air Force Academy and served as an officer for five years. After attending Harvard Law School, he worked in Los Angeles for major law firms as a corporate transactions/securities lawyer and litigator. Mr. Campos served in the US Attorney's Office in Los Angeles. He prosecuted major narcotics cartels and, in a celebrated trial, convicted several kingpin cartel members for the kidnapping and murder of a DEA.



Audria Pendergrass Lee is FINRA's Vice President of Talent Acquisition and Chief Diversity Officer. In this role, she leads FINRA's strategic diversity, equity and inclusion, and talent acquisition efforts. Since joining FINRA in 2009, Ms. Lee has spearheaded the strategic deployment of resources that support FINRA's goal of fostering an attractive and inclusive workplace. Before assuming her current role, she served in various positions, where she helped to facilitate the creation of an award-winning diversity leadership council and employee resource group program; launched formal mentoring programs; oversaw the implementation of organization-wide diversity education; and made significant enhancements to flexible work arrangements, gender- and LGBTQ-inclusive policies and other diversity programming efforts. In 2019, Ms. Lee was recognized by *The Network Journal* as an Influential Black Woman in Business. She also serves on the board of the Center for Workforce Compliance and as a member of the Tanenbaum Workplace Advisory Council. Prior to joining FINRA, Ms. Lee worked as a diversity program manager, new service development director and paralegal in a variety of industries, including the military, financial services, distribution and educational services. Ms. Lee, a Life Member of Alpha Kappa Alpha Sorority, Inc., earned

her Bachelor of Arts in Political Science from the University of South Carolina, and her master's degree in Organizational Management from the University of Phoenix. She has continued her studies at the University of Maryland University College and Aresty Institute of Executive Education at The Wharton School, University of Pennsylvania.

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