



# 2022 Annual Conference

May 16 –18 | Washington, DC | Hybrid Event

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## **Plenary Session III: A Conversation With the Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC)**

**Monday, May 16, 2022**

**10:00 a.m. – 11:00 a.m.**

Join FINRA President and CEO Robert Cook and SEC Chair Gary Gensler for a conversation about industry topics impacting the markets and the financial services industry.

### **Speakers:**

Robert Cook  
President and Chief Executive Officer  
FINRA

The Honorable Gary Gensler  
Chair  
U.S. Securities and Exchange Commission (SEC)

## Plenary Session III: A Conversation With the Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC) Speaker Bios:

Speakers:



**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.



**Chair Gary Gensler** was nominated by President Joseph R. Biden to Chair the U.S. Securities and Exchange Commission on February 3, 2021, confirmed by the U.S. Senate on April 14, 2021, and sworn into office on April 17, 2021. Before joining the SEC, Gensler was professor of the Practice of Global Economics and Management at the MIT Sloan School of Management, co-director of MIT's Fintech@CSAIL, and senior advisor to the MIT Media Lab Digital Currency Initiative. From 2017-2019, he served as chair of the Maryland Financial Consumer Protection Commission. Gensler was formerly chair of the U.S. Commodity Futures Trading Commission, leading the Obama Administration's reform of the \$400 trillion

swaps market. He also was senior advisor to U.S. Senator Paul Sarbanes in writing the Sarbanes-Oxley Act (2002), and was undersecretary of the Treasury for Domestic Finance and assistant secretary of the Treasury from 1997-2001. In recognition for his service, he was awarded the Alexander Hamilton Award, the U.S. Treasury's highest honor. He is a recipient of the 2014 Frankel Fiduciary Prize. Prior to his public service, Gensler worked at Goldman Sachs, where he became a partner in the Mergers & Acquisition department, headed the firm's Media Group, led fixed income & currency trading in Asia, and was co-head of Finance, responsible for the firm's worldwide Controllers and Treasury efforts. A native of Baltimore, Md., Gensler earned his undergraduate degree in economics in 1978 and his MBA from The Wharton School, University of Pennsylvania, in 1979. He has three daughters.

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# Speakers

## ○ Speakers

- Robert Cook, President and Chief Executive Officer, FINRA
- The Honorable Gary Gensler, Chair, U.S. Securities and Exchange Commission (SEC)