

Plenary Session III: Ask Advertising Regulation Senior Staff

Thursday, October 20, 2022

4:00 p.m. - 5:00 p.m.

Join senior staff in FINRA's Advertising Regulation Department to hear how to navigate current developments in FINRA's communications rules and industry marketing practices including mobile apps, social media, and other digital channels. Panelists answer questions on how to embrace the future of communications while remaining compliant.

Moderator: Joseph Price
Senior Vice President
FINRA Corporate Financing & Advertising Regulation

Panelists: Joseph Savage
Vice President, OGC Regulatory Analysis
FINRA Office of Disciplinary Affairs

Pramit Das
Director
FINRA Advertising Regulation

Ira Gluck
Director
FINRA Advertising Regulation

Amy Sochard
Vice President
FINRA Advertising Regulation

Plenary Session III: Ask Advertising Regulation Senior Staff Panelist Bios:

Moderator:



Joseph E. Price is Senior Vice President, Regulatory Analysis. He oversees FINRA's Corporate Financing and Advertising Regulation Departments. The Corporate Financing Department regulates capital-raising activities of broker/dealers; including equity, debt, REIT, closed-end fund, limited partnership offerings and private placements. The Advertising Regulation Department regulates broker/dealer sales materials, mutual fund advertisements, social media and other communications with the public. Mr. Price previously worked in various capacities at the Securities and Exchange Commission. He was an Assistant General Counsel

and a Special Counsel in the Office of General Counsel and he was the Deputy Chief of the Office of Disclosure and Investment Adviser Regulation in the Division of Investment Management. Prior to working at the SEC, he was a litigator in the Bureau of Competition at the Federal Trade Commission. Mr. Price also worked as a Compliance Investigator at the Coffee, Sugar & Cocoa Exchange. He was an Adjunct Professor at Georgetown University Law Center from 1994 to 2002, where he taught "Current Issues in Securities Regulation" and "Disclosure under the Federal Securities Laws." He earned a degree in Economics from the University of Wisconsin and received his J.D. from Fordham University.

Panelists:



Joe Savage is Vice President in FINRA's Office of General Counsel. Mr. Savage specializes in a broad range of securities regulatory matters, including investment management, investment company, advertising, and broker-dealer issues, and regularly appears at conferences regarding these issues. Prior to joining FINRA, he was an Associate Counsel with the Investment Company Institute and an attorney with the law firms of Morrison & Foerster LLP and Hunton & Williams. Mr. Savage also served as a judicial law clerk for United States District Judge John P. Vukasin of the Northern District of California. Mr. Savage holds a Bachelor's degree from the

University of Virginia, a Master's degree in public policy from the University of California, Berkeley, and a J.D. from the University of California, Hastings College of the Law, where he served as Note Editor of the Hastings Law Journal.



Pramit Das is Director in FINRA's Advertising Regulation Department. In this role, his responsibilities include managing the Department's filings review program, operations, administration, and proprietary technology systems. He also provides education to members, FINRA staff and other regulatory staff and, participates in rule amendment and rulemaking projects as necessary. Prior to joining FINRA (fka NASD) in 1994, Mr. Das worked for Metropolitan Life Insurance Company and Arthur Andersen & Co. He holds an MBA in Finance from the University of Maryland, College Park, and an MA in Financial Economics from Clemson University, Clemson, South Carolina. He was also Series 7 and 63 registered.



Ira Gluck is Director in FINRA's Advertising Regulation Department. In this role, he works on rulemaking and policy issues and is responsible for the Department's complex review and spot-check programs. Mr. Gluck's previous positions within FINRA included leading the Emerging Regulatory Issues team as well as heading the Strategic Initiatives Group in FINRA's Enforcement Department. He also served in various investigative and management roles in the Enforcement and Member Regulation Departments of NASD before its 2007 consolidation with NYSE Member Regulation, which resulted in the formation of FINRA. Mr. Gluck received his

Bachelor's degree from the University of Pennsylvania and completed both a Master's degree and M.B.A. at the University of California, Irvine.



Amy C. Sochard is Vice President of FINRA's Advertising Regulation Department. The department helps protect investors by ensuring members of FINRA use communications including social media, digital advertising and other marketing material that are fair, balanced, and not misleading. Ms. Sochard oversees the department's regulatory review programs and business operations, including the development of technology to facilitate the review of communications. Ms. Sochard provides expertise and policy guidance to other FINRA departments concerning FINRA, SEC, MSRB and SIPC rules pertaining to communications with the public.

She also oversees the development of new rules, published guidance, and interpretations regarding communications, and she routinely speaks at industry events on these topics. Prior to joining FINRA, Ms. Sochard worked with a real estate syndication firm in Washington, DC. She received a Bachelor's degree with distinction in English from the University of Virginia and studied poetry writing at Columbia University.

2022 FINRA Advertising Regulation Conference
October 20-21, 2022 | Washington, DC | Hybrid Event

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Panelists

○ Moderator

- Joseph Price, Senior Vice President, Corporate Financing & Advertising Regulation, FINRA Corporate Financing & Advertising Regulation

○ Panelists

- Joseph Savage, Vice President, OGC Regulatory Analysis, FINRA Office of Disciplinary Affairs
- Pramit Das, Director, FINRA Advertising Regulation
- Ira Gluck, Director, FINRA Advertising Regulation
- Amy Sochard, Vice President, FINRA Advertising Regulation