



# 2019 FINRA Institutional Conference

September 11 | New York, NY

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**Ask FINRA Senior Staff**  
**Wednesday, September 11, 2019**  
**3:00 p.m. – 4:00 p.m.**

FINRA senior leaders and industry experts discuss the regulatory environment and a range of topics affecting institutional firms.

**Moderator:** William St. Louis  
Senior Vice President and Regional Director, Sales Practice  
FINRA Northeast Region

**Speakers:** Ornella Bergeron  
Senior Vice President, Unit Leader ROOR  
FINRA Office of Risk Oversight and Operational Regulation

Gene DeMaio  
Executive Vice President, Options Regulation and Trading and Financial  
Compliance Examinations (TFCE)  
FINRA Market Regulation

John Edmonds  
Examination Manager, Sales Practice  
FINRA New York District Office

Scott Gilbert  
Vice President and District Director, Sales Practice  
FINRA New York District Office

## Ask FINRA Senior Staff Panelist Bios:

Moderator:

**William St. Louis** is Regional Director for FINRA's Northeast region and has responsibility for the sales practice examination and surveillance programs in FINRA's New York, Boston, Philadelphia, and New Jersey District offices. He also oversees FINRA's Membership Application Program (MAP). Prior to assuming the Regional Director role in March 2019, he was the District Director of FINRA's New York office. Before joining FINRA's examination program, Mr. St. Louis held senior roles in FINRA's Enforcement Department including serving as the Regional Chief Counsel for FINRA's North Region. Mr. St. Louis earned a B.A. from Baruch College and a law degree from New York University School of Law. Immediately after law school, Mr. St. Louis clerked for a New York state trial judge, and prior to law school he worked for several years in the Compliance Department of a NY-based broker-dealer.

Speakers:

**Ornella Bergeron** has been with FINRA since its inception in 2007. In her role as Senior Vice President in the Risk Oversight and Operational Regulation group of Member Supervision, she leads a group of 90 professionals who supervise and examine approximately 200 of FINRA's largest members for financial and operational soundness, risk assessment adequacy and business conduct compliance. Prior to joining FINRA, Ms. Bergeron spent 19 years at the New York Stock Exchange in similar roles. Ms. Bergeron holds a BBA in Finance from Iona College.

**Gene DeMaio** is Executive Vice President in FINRA's Market Regulation Department where he manages the Options Regulation and Trading and Financial Compliance Examinations programs. Prior to joining FINRA, Mr. DeMaio was an Options Market Maker at the American Stock Exchange, and earlier worked as an attorney at the law firm of Kord Lagemann where he represented complainants in securities arbitration disputes. Mr. DeMaio is a graduate of Fordham Law and earned his LL.M at New York University.

**John Edmonds** is currently Examination Manager for the FINRA New York Municipal Examination Team. The team was created in 2013 to conduct Municipal examinations of Firms in New York City that engage in Primary Municipal Market activities, and/or Firms that conduct significant Secondary Market trading of Municipal Securities. Mr. Edmonds began his career with NASD, (now FINRA) as an Examiner in 1997. He has been an Examination Manger in the New York District Office since 2000.

**Scott M. Gilbert** is a FINRA Vice President and New York District Director, responsible for the District's examination and risk monitoring programs. From 2013 to 2019, he was a FINRA Senior Director with responsibility for the New York District's large firm examination and cause examination programs. From 2004 through 2013, Mr. Gilbert was employed at UBS Financial Services Inc. in various roles including Executive Director and Head of Compliance for the Wealth Management Advisor Group of UBS, with responsibility for compliance matters and policies relating to the broker-dealer's financial advisors. From 2006 through 2010, he was Senior Associate General Counsel and head of the group responsible for internal investigations and disciplinary recommendations at UBS. In that role, he advised the firm's management in all aspects of issues related to employee compliance with firm policies and industry rules, regulations and laws. From 2000 to 2004, Mr. Gilbert was Vice President and Senior Counsel with Merrill Lynch & Co., where he was responsible for global regulatory matters and internal investigations. Before that, he was a trial counsel with the Division of Enforcement of the New York Stock Exchange, responsible for enforcing the rules of that self-regulatory organization, investigating customer complaints and prosecuting disciplinary actions. Mr. Gilbert was at the NYSE from 1995 to 2000. He also was a litigation attorney in private practice from 1990 to 1995, with a focus on complex commercial litigation and securities class actions. Mr. Gilbert is a graduate of Columbia University and New York University School of Law.

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# Panelists

## ■ Moderator

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