



2019 FINRA Institutional Conference

September 11 | New York, NY

Fireside Chat Featuring FINRA President and CEO Robert Cook and Senior Vice President and Northeast Regional Director, Sales Practice William (Bill) St. Louis

Wednesday, September 11, 2019

8:35 a.m. – 9:05 a.m.

Speakers: Robert Cook
President and Chief Executive Officer
FINRA

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

Fireside Chat Featuring FINRA President and CEO Robert Cook and Senior Vice President and Northeast Regional District Director, Sales Practice William (Bill) St. Louis Panelist 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.

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.

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and CEO Robert Cook and Senior Vice
President and Northeast Regional Director,
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Panelists

■ Speakers

- **Robert Cook, President and Chief Executive Officer, FINRA**
- **William St. Louis, Senior Vice President and Regional Director, Sales Practice, FINRA Northeast Region**