



## 2019 FINRA Institutional Conference Speaker Biographies

**Jonah Arcade** has been with FINRA for nine years and is currently an Examination Manager in FINRA's NY District Office dedicated to large firm sales practice examinations. Mr. Arcade started his career at FINRA in 2010 as a Principal Examiner and was promoted to Examination Manager in 2015. Additionally, he works with FINRA's Regulatory Specialist Program as the head of the Research Subject Matter Expert Group. Prior to joining FINRA, Mr. Arcade spent five years with Bear, Stearns & Co. and one year with J.P. Morgan Securities LLC covering fixed income and equity research. While at Bear Stearns, he obtained the Series 7, 63 and 24 registrations. Mr. Arcade is a graduate of the University of Michigan and the American University Washington College of Law.

**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.

**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.

**Bill Crooks** is Senior Director in FINRA's Trading and Financial Compliance Examinations ("TFCE") group. TFCE conducts examinations focused on member firm's trading operations. Mr. Crooks has more than twenty years' experience conducting and managing TFCE examinations. Currently, Mr. Crooks oversees two teams of TFCE examiners located in New York and Chicago. Mr. Crooks has also been integral in the continued evolution of the TFCE program, including the incorporation of risk based scoping methodologies, developing guidance and overseeing training. In his various roles at FINRA, Mr. Crooks has led several projects and initiatives involving electronic trading topics, including Market Access, ATSS, and Algorithmic Trading Controls. Mr. Crooks began his career at FINRA as a Compliance Examiner in Member Supervision. Prior to joining FINRA, Mr. Crooks was employed as a Trading Clerk by an independent broker/dealer that operated on the American and New York Stock Exchanges.

**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.

**Gary Distell** has more than 25 years of experience in the financial compliance and legal fields. He started his career at the NASD and now serves as the Chief Compliance Officer, Senior Managing Director and Senior Regulatory Counsel for Guggenheim Securities. Mr. Distell first served as a Senior Consultant and in September 2015 joined the company as a Managing Director and Regulatory Counsel for Guggenheim Partners, where he advised the Global Head of Compliance on a variety of compliance issues arising in the broker-dealer and investment advisory divisions. Prior to Guggenheim Partners, he served as the Global Head of Compliance, Managing Director and Senior Counsel for Cantor Fitzgerald where he coordinated and implemented policies globally for all of Cantor Fitzgerald's compliance departments and oversaw many aspects of the Americas legal department, including fixed income and equity. From July 2008 to January 2010, Mr. Distell was a partner for Katten Muchin Rosenman LLP, a full-service law firm where he focused on Financial Services law. Mr. Distell was also previously a Senior Managing Director for Bear, Stearns & Co. where he was the head equity attorney and head of their regulatory group from 1996 to 2008. Prior to Bear, Stearns & Co., Mr. Distell served as an investigator for the National Association of Securities Dealers (Now FINRA) until 1996. Mr. Distell is Series 7, 24, 57, 63, 79 and 99 licensed and holds a B.S. in Finance from Penn State University, a J.D. from George Washington University Law School and the LL.M. from Georgetown University Law Center.

**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 Manager in the New York District Office since 2000.

**Eric Field** has been with Robert W. Baird & Co. Inc. since 2010, first as Director of Equity Capital Markets Compliance, then as Director of Capital Markets Compliance in 2011, which includes responsibility for all equities and fixed income compliance. He is currently Baird's Municipal Advisor CCO. From 2003-2010, Mr. Field worked at a mid-size broker dealer near Washington, DC and was responsible for a variety of compliance areas including equities, fixed income, options, public communications, and registrations. Prior to that he worked from 2000-2003 as a TMMS examiner with then NASD, where he conducted examinations of member firms trading desks. Mr. Field has his Masters of Science Degree in Finance from Johns Hopkins University and his B.S. in Finance from West Virginia University. He currently serves on the MSRB Series 50/54 exam writing committee.

**Jason Foye** is Director of FINRA's AML Investigative Unit, a specialized team that conducts complex Anti-Money Laundering examinations, provides guidance to FINRA's examination and Enforcement staff in connection with AML-related matters, and provides education and training to FINRA staff and industry personnel throughout the country. Mr. Foye serves as an AML Regulatory Specialist within FINRA and is Certified Anti-Money Laundering Specialist and a Certified Fraud Examiner. Mr. Foye graduated from Florida State University with a Bachelor's degrees in Finance and Risk Management. Mr. Foye works from FINRA's Florida District Office, and has been with FINRA for 11 years.

**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.

**Joshua Greenstein** is President of Puma Capital, LLC. Mr. Greenstein joined Puma Capital in December 2007 steering the firm through the initial FINRA NMA process. Mr. Greenstein also served in the role of Chief

Compliance Officer through May 2015. Mr. Greenstein began his career in 1994 as an institutional, wholesale equities trader. He received an M.B.A. from the Zicklin School of Business and a B.A. in Political Science from the University of Vermont. Mr. Greenstein currently maintains his Series 7, 24, 57, and 63 designations.

**Jeffrey Herrmann** has been with FINRA for 13 years. He began his career in 1996, obtaining his series 7 and 63 registrations while conducting Broker Dealer sales to U.S. Retail and European Institutional Clients. Three year later, he joined the Market-Making Desk of Knight Capital Group where he obtained his series 55 registration. At Knight, Mr. Herrmann conducted Institutional Sales and Trading, specializing in semiconductor trading, merger arbitrage and technical analysis of cash and futures markets. Prior to joining FINRA, Mr. Herrmann also worked as an Operational Risk Specialist in the Global Asset Management business of a top-tier Broker-Dealer and traded his own capital as a registered Proprietary Equity Trader. Currently, Mr. Herrmann is an Examination Manager in FINRA's NY District Office. Additionally, he works with FINRA's Regulatory Specialist Program as a member of the Trading and Market Risk and Controls Subject Matter Expert Group and hosts the program's national conference calls on Algorithmic, Direct Market Access, High Frequency and Proprietary Trading Controls.

**Kate Johnson** is Principal Examiner in FINRA's AML Investigative Unit, where she routinely works to address complex money laundering and fraud risks. After joining FINRA in 2013, Ms. Johnson worked on cycle examinations in the New York District Office as well as a specialized team focusing on the examinations of large broker-dealers. Ms. Johnson received her BA in Business from Franklin & Marshall College and is CAMS certified.

**Joanie Jones** is Principal, Associate Compliance Director and the Global AML Officer of Piper Jaffray. In this role, she is responsible for the implementation and management of the AML and anti-bribery programs for Piper Jaffray & Co., the US broker-dealer, and the affiliated broker-dealers in London and Hong Kong. Other areas of responsibility include sanctions compliance and managing the regulatory and registration functions within compliance. Ms. Jones began working in AML compliance in 2001 and was named Chief AML Officer for the US broker-dealer in 2006 and Global AML Officer in 2011. She joined Piper Jaffray in 1998 as a retail compliance officer. Prior to joining Piper Jaffray, she held various roles in operations, sales and sales supervision at a Minneapolis-based regional broker-dealer. Ms. Jones is a member of the SIFMA Anti-Money Laundering and Financial Crimes committee. She holds the series 7, 9, 10 and 24 licenses. Ms. Jones earned a Bachelor of Science degree in business administration from the University of North Dakota.

**Rajesh Mirchandani** is Senior Director in the Trading and Financial Compliance Examinations (TFCE) examination program within FINRA's Market Regulation Department. TFCE was formerly known as Trading and Market Making Surveillance (TMMS). Mr. Mirchandani's team regulates FINRA and various Exchange members for compliance with REG SHO Compliance, Confirmation disclosures, Order Execution and Order Routing information disclosures, OATS Reporting, Trade Reporting/Order Entry, Record-keeping, Market Access, and other trading rules. Mr. Mirchandani is responsible for planning, coordination, and execution of the annual TFCE examination cycle. Mr. Mirchandani has been with FINRA since July 1996, where he started with Member Supervision as a Sales Practice examiner. He received his B.S. degree in Industrial Engineering from State University at Buffalo in 1991, and an MBA in Finance and Investments from Baruch College in 1996.

**Jill W. Ostergaard** has more than 20 years of experience in strategic, risk management, legal and regulatory compliance matters in global financial markets. Currently, Ms. Ostergaard is a Partner and Chief Compliance Officer for Exos Securities LLC, an institutional broker-dealer with a focus on state-of-the-art technology. There, she is architecting the next generation compliance program from inception. Previously, Ms. Ostergaard was Managing Director and Head of Americas Compliance for Morgan Stanley and Barclays Capital. At Barclays, she also served as Chief Compliance Officer for the Intermediate Holding Company as well as the Swap Dealer. Early in her career she was Assistant General Counsel at Pershing where she developed a compliance program for Pershing Trading Company. Ms. Ostergaard began her career as an attorney with the SEC's Division of Market Regulation (Trading & Markets) and in the office of Commissioner Steven Wallman where she drafted a white paper on decimalization. Ms. Ostergaard is an active industry participant and served on FINRA's National Adjudicatory Council from 2012-2014 and was elected Chair in 2014; she also served 10 years on FINRA's Compliance Advisory Committee. Ms. Ostergaard has been a long-standing member of SIFMA's Compliance and Regulatory Policy Committee and served as Chair from 2006 – 2008. She also assisted in drafting the 2005 and 2013 SIFMA Whitepapers on the Evolving Role of Compliance. Ms. Ostergaard has been a speaker/moderator on several important compliance topics, including: behavioral economics, risk assessment, ethics, market structure, new products and

supervision. She graduated cum laude from Hope College and received her J.D. from Loyola University of Chicago.

**Marianne Paoli** is the US Head of Financial Crime Compliance for Global Banking and Markets at HSBC. Prior to joining HSBC, Ms. Paoli was a Director in FINRA's Department of Enforcement where she supervised investigators and attorneys in conducting complex investigations and prosecutions, including matters involving AML and fraud. Before joining FINRA, Ms. Paoli was a prosecutor in the New York County District Attorney's office where she investigated and prosecuted white collar crimes, including those related to money laundering, bribery and corruption, and fraud.

**Philip Shaikun** is Vice President and Associate General Counsel in FINRA's Office of General Counsel, where he is responsible for developing and interpreting FINRA rules and providing legal and policy advice to FINRA management and staff. Mr. Shaikun's responsibilities involve a variety of regulatory areas, including research analyst conflicts, broker compensation practices, communications with the public, supervision, registration, and sales and trading practices. Mr. Shaikun also leads the Office of General Counsel's role in the retrospective review of FINRA rules. Mr. Shaikun previously served as an attorney in FINRA's (then NASD) Enforcement Department. Prior to joining FINRA, Mr. Shaikun was as a trial attorney with the U.S. Department of Justice, where he prosecuted civil fraud cases. Mr. Shaikun graduated with a bachelor's degree from Duke University, where he also has served as a visiting lecturer in public policy. He received a law degree from the University of Southern California. Mr. Shaikun is also a former reporter for the *St. Petersburg Times* in Florida.

**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.

**Carmine A. Venezia** is the global head of Merchant Banking Division Compliance. He is also co-head of the Americas Regional Vetting Group. Mr. Venezia joined Goldman Sachs in 2006 as a vice president and associate general counsel in the Legal Department. In 2009, he joined Global Compliance as global manager of Operations, Technology, Finance and Services Compliance. In 2014, he became the co-head of Americas Securities Division Compliance, a role he held until he assumed his current role in 2019. Mr. Venezia was named managing director in 2012. Prior to joining the firm, Mr. Venezia worked at Bear Stearns & Company as a senior managing director in the Legal Department for 10 years. Earlier in his career, Mr. Venezia worked in private practice with a large New York City law firm and was a staff accountant with Price Waterhouse before becoming an attorney. Mr. Venezia serves as a member of the Board of Trustees of Trinity Hall. He also represents the firm on a number of industry committees, including the FINRA Operations Advisory Committee. Mr. Venezia earned a BS in Accounting from Lehigh University and a JD *cum laude* from Brooklyn Law School. He is admitted to the New York and Pennsylvania bars and is a certified public accountant.