



2019 FINRA Institutional Conference

September 11 | New York, NY

Welcome and Opening Remarks Wednesday, September 11, 2019 8:30 a.m. – 8:35 a.m.

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

Speaker Biography:

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.

2019 FINRA Institutional Conference
September 11, 2019 | New York, NY

Welcome and Opening Remarks



Panelist

■ Speaker

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