



2019 New York Region Member Forum

December 12, 2019 | New York, NY

Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Vice President of Member Relations and Education Chip Jones

Thursday, December 12, 2019

9:05 a.m. – 9:45 a.m.

Speakers:

Chip Jones
Senior Vice President
FINRA Member Relations and Education

James Wrona
Vice President and Associate General Counsel, Regulatory
FINRA Office of General Counsel

Regulation Best Interest Fireside Chat With FINRA Vice President and Associate General Counsel Jim Wrona and Senior Vice President of Member Relations and Education Chip Jones
Panelist Bios:

Speakers:

Chip Jones is Senior Vice President of Member Relations and Education for FINRA. In leading the Member Relations and Education Department, Mr. Jones' responsibilities include maintaining and enhancing open and effective dialog with FINRA member firms. Mr. Jones also oversees FINRA's Member Education area, which includes FINRA conferences and other member firm educational offerings such as the FINRA Institute at Georgetown for the Certified Regulatory and Compliance Professional (CRCP)[®] designation. Prior to joining FINRA, Mr. Jones spent six years as Vice President of Regulatory and Industry Affairs at American Express Financial Advisors (AEFA). Previous to AEFA, he spent two years as Advocacy Administrator for the Association for Investment Management and Research (AIMR). Mr. Jones was employed by the Virginia Securities Division as a senior examiner/investigator prior to joining AIMR.

James S. Wrona is Vice President and Associate General Counsel for FINRA in Washington, DC. In this role, he is responsible for various policy initiatives, rule changes and litigation regarding the securities industry. Mr. Wrona formerly was associated with the law firm of K&L Gates LLP, where his practice focused on complex federal litigation. He also previously served as a federal law clerk for the Honorable A. Andrew Hauk of the United States District Court for the Central District of California (Los Angeles). Mr. Wrona is a frequent speaker at securities and litigation conferences and author of numerous law review articles, including *The Best of Both Worlds: A Fact-Based Analysis of the Legal Obligations of Investment Advisers and Broker-Dealers and a Framework for Enhanced Investor Protection*, 68 Bus. Law. 1 (Nov. 2012); *The Securities Industry and the Internet: A Suitable Match?*, 2001 Colum. Bus. L. Rev. 601 (2001).

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

**Regulation Best Interest Fireside Chat With
FINRA Vice President and Associate General
Counsel Jim Wrona and Senior Vice President of
Member Relations and Education Chip Jones**

Speakers

■ Speakers

- **Chip Jones, Senior Vice President, FINRA Member Relations and Education**
- **James Wrona, Vice President and Associate General Counsel, Regulatory, FINRA Office of General Counsel**