

From Financial Services Green to DEI Gold:

DEI in the Financial Services Industry

September 15, 2022

2:00 – 4:00 PM ET / 1:00 – 3:00 PM CT / Noon – 2:00 PM MT / 11:00 AM – 1 PM PT / 9:00 – 11:00 AM Hawaii

Program Description:

The legal profession has relied heavily on the business case for diversity to support and advance its diversity, equity, and inclusion (“DEI”) efforts: corporate clients expressing a desire to see greater diversity among their outside counsel law firms. Among the most influential of those clients have been those in the financial services industry. As a practice area, however, that industry has a reputation for its outside counsel being among the least diverse. But as the most recognized and influential financial services industry self-regulatory organizations (“SROs”) recently have begun demonstrating an interest in, concern about, and commitment to, greater diversity, have they created an inflection point for the financial services industry and the lawyers and law firms that would represent them? Will the DEI leadership efforts of SROs, as a distinct and important component to ESG, lead to changes in the diversity of the lawyers and law firms representing corporate business generally, and financial institutions specifically? Please join us for an unprecedented round table discussion with the leaders of the Cboe Global Markets (“Cboe”), Financial Industry Regulatory Authority, Inc. (“FINRA”), and the National Association of Securities Dealers Automated Quotations (“Nasdaq”) where we will learn more about their efforts to advance DEI; examine how those efforts may be starting to influence the corporations and financial institutions with which their SROs work; discuss the barriers and obstacles to their efforts; assess their strongest and most persuasive to motivate and influence more robust DEI efforts, and explore how this, in turn, can influence DEI efforts in the legal profession.

Timed Agenda

(All times here CENTRAL)

1:00 PM – 1:05 PM	Welcome – Sandra Yamate, CEO, Institute for Inclusion in the Legal Profession
1:05 PM – 1:10 PM	Welcome – Bruce R. Byrd, Chair, Institute for Inclusion in the Legal Profession and Executive Vice President and General Counsel, Palo Alto Networks
1:10 PM – 1:15 PM	Opening Remarks – Gary Gensler , Chair, U.S. Securities and Exchange Commission
1:15 PM – 2:45 PM	Panel Discussion <ul style="list-style-type: none">• Robert W. Cook, President and Chief Executive Officer, Financial Industry Regulatory Authority (“FINRA”)• Ed Knight, Executive Vice Chairman, National Association of Securities Dealers Automated Quotations (“Nasdaq”)• Catherine Clay, Executive Vice President, Global Head of Data and Access Solutions, (“Cboe”)• Chris Lewis, General Counsel, Edward Jones (moderator)
2:45 PM – 2:55 PM	Audience Question and Answer
2:55 PM – 3:00 PM	Closing Remarks/Acknowledgements – Bruce R. Byrd
3:00 PM	Adjourn

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Speaker Bios



Catherine Clay

Executive Vice President, Global Head of Data and Access Solutions
Cboe Global Markets

Catherine Clay is Executive Vice President, Global Head of Data and Access Solutions, at Cboe Global Markets, Inc. (Cboe), where she leads the company’s efforts to align Cboe’s information solutions product suite and market data services with strategic objectives. Under Clay’s leadership, Cboe’s market data and access services, market and risk analytics, global indices and order and trade management offerings work in tandem, providing Cboe’s global client base with more efficient and streamlined access to the company’s full suite of data services and trading resources.

Clay helps clients better understand and access Cboe’s market data offering, analytics, execution services and index businesses. She also assists in evaluating potential acquisitions and assessing and facilitating infrastructure investments to maximize efficiencies and agility across non-trade engine applications.

Previously, as Senior Vice President, Information Solutions, Clay led the growth of Cboe’s holistic offering of indices, analytics and execution services, creating a high value offering for market participants.

Clay began her career as a clerk in Interactive Brokers’ market-making unit, Timber Hill, and progressed to Lead Market Maker and Director of Floor Trading and Operations. In 2006, she left Timber Hill to co-found Thales LLC, a market-making firm on the NYSE Options Floor and on the OneChicago single stock futures exchange. She joined Livevol, Inc. in 2010 as Chief Strategy Officer. At the time of Cboe's acquisition of Livevol in 2015, Clay held the position of Chief Executive Officer.

Clay holds a Bachelor of Science from the University of Colorado, where she learned the art of Zamboni driving. She serves on the Board of the Greenwood Project



Robert W. Cook

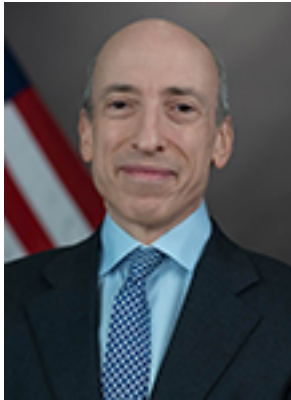
President and Chief Executive Officer
Financial Industry Regulatory Authority

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 proposed rule filings from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing a range of initiatives 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 at Cleary, Gottlieb, Steen & Hamilton, LLP, based in Washington, DC. 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.



Gary Gensler

Chair

U.S. Securities and Exchange Commission

Gary Gensler was nominated by President Joseph R. Biden to serve as Chair of the U.S. Securities and Exchange Commission on February 3, 2021, confirmed by the U.S. Senate on April 14, 2021, and sworn into office on April 17, 2021.

Before joining the SEC, Gensler was professor of the Practice of Global Economics and Management at the MIT Sloan School of Management, co-director of MIT's Fintech@CSAIL, and senior advisor to the MIT Media Lab Digital Currency Initiative. From 2017-2019, he served as chair of the Maryland Financial Consumer Protection Commission.

Gensler was formerly chair of the U.S. Commodity Futures Trading Commission, leading the Obama Administration's reform of the \$400 trillion swaps market. He also was senior advisor to U.S. Senator Paul Sarbanes in writing the Sarbanes-Oxley Act (2002) and was undersecretary of the Treasury for Domestic Finance and assistant secretary of the Treasury from 1997-2001.

In recognition for his service, he was awarded the Alexander Hamilton Award, the U.S. Treasury's highest honor. He is a recipient of the 2014 Frankel Fiduciary Prize.

Prior to his public service, Gensler worked at Goldman Sachs, where he became a partner in the Mergers & Acquisition department, headed the firm's Media Group, led fixed income & currency trading in Asia, and was co-head of Finance, responsible for the firm's worldwide Controllers and Treasury efforts.

A native of Baltimore, Md., Gensler earned his undergraduate degree in economics in 1978 and his MBA from The Wharton School, University of Pennsylvania, in 1979. He has three daughters.



Edward Knight

Executive Vice Chairman

National Association of Securities Dealers Automated Quotations

As Executive Vice Chairman, Edward Knight manages global government relations and serves as a senior advisor on public policy and litigation.

During his tenure as Nasdaq’s General Counsel from 2001 to 2019, Knight championed many causes for investors and public companies: proxy reform; corporate governance modernization, including the JOBS ACT passage in 2012; regulatory reform; immigration reform; and enhancing the self-regulatory organization model. He has worked tirelessly to ensure Nasdaq’s U.S. equity market maintains its position as the premier global marketplace for capital formation.

Knight currently serves as a Trustee of the University of Texas Law School Foundation, a member of the Advisory Board of Columbia University’s School of International and Public Affairs, and a member of the District of Columbia, Texas and Supreme Court Bars. He is a life member of the Council on Foreign Relations and sits on its Committee on Corporate Affairs. Knight is Vice Chairman of the Board of the U.S. Chamber of Commerce and Interim Chairman of the U.S. Chamber’s U.S.-India Business Council, and also sits on TechNet’s Executive Council. He is a member of the Nasdaq Dubai Board and the Board of the World Federation of Exchanges. He is based in Nasdaq’s Washington, D.C., office.

Before serving as FINRA’s General Counsel from 1999-2001 and then NASDAQ’s General Counsel, Knight served as General Counsel of the U.S. Department of the Treasury from September 1994 to June 1999 — the longest tenure since the position was created in 1934. Upon his departure, he received the Alexander Hamilton Award, the Department’s highest honor. He also received the Honor Award from the Secret Service. Before being named Treasury General Counsel, Knight served as Executive Secretary and Senior Advisor to Secretary of the Treasury Lloyd Bentsen. He also served as a member of the Obama Transition Team at the U.S. Treasury Department in 2008-2009.

Prior, he was a partner with the law firm of Akin, Gump, Strauss, Hauer and Feld in Washington, D.C. A Texas native, Knight received his Bachelor of Arts, with honors, in Latin American Studies from the University of Texas at Austin and his Juris Doctorate from the University of Texas School of Law.



Chris Lewis (Moderator)
General Counsel
Edward Jones

Edward Jones Principal Chris Lewis is general counsel, responsible for leading all associates who provide legal support to the firm and for Compliance and Government Relations.

As a firm leader, Chris serves on the Enterprise Leadership Team, which is responsible for providing advice and counsel to the managing partner in helping the firm to grow its impact and create value for clients, colleagues and communities today and in the future.

Chris joined Edward Jones in 2007 as a principal and deputy general counsel in the Legal division. He was named general counsel in 2015. A graduate of Columbia University School of Law as a Harlan Fiske Stone Scholar, Chris is a member of the Securities Industry and Financial Markets Association (SIFMA) General Counsel Committee.

Chris serves as board chair of Big Brothers Big Sisters of Eastern Missouri. He is a member of the Board of Directors for St. Louis Children's Hospital Foundation and the Missouri Botanical Garden and is a member of the Board of Trustees at Manhattanville College in Purchase, N.Y.

Thank You

This program would not have been possible without the generous support of our Planning Committee and Sponsors acknowledged below:

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