



2019 FINRA Midwest Region Member Forum

October 3, 2019 | St. Louis, Missouri

Ask FINRA Senior Staff
Thursday, October 3, 2019
1:00 p.m. – 1:50 p.m.

FINRA senior leaders discuss the regulatory environment and a range of topics affecting broker-dealers.

Moderator: Thomas Nelli
Senior Vice President and South Regional Director, Sales Practice
FINRA South Region

Speakers: Scott DeArmey
District Director, Sales Practice
FINRA Kansas City District Office

Laura Trotz
District Director, Sales Practices
FINRA Chicago District Office

Ed Wegener
Senior Vice President and Midwest Regional Director, Sales Practice
FINRA Midwest Region

Ask FINRA Senior Staff Panelist Bios:

Moderator:

Thomas Nelli is Senior Vice President and Regional Director overseeing FINRA's South Region, which includes offices in Atlanta, Boca Raton, Dallas and New Orleans. Prior to joining FINRA, Mr. Nelli was a Managing Director Deputy Chief Compliance officer in Morgan Stanley Wealth Management Compliance. In this role, Mr. Nelli headed the Investment Products and Services, Advisory, Research Equity, Futures and Options and Fixed Income Compliance Groups.

Speakers:

R. Scott DeArmey is District Director of the Kansas City District Office of FINRA where he is responsible for regulatory oversight of FINRA member firms, branch offices, registered representatives and associated persons located in seven states throughout the Midwest: Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota. Mr. DeArmey began his FINRA career 29 years ago as an examiner in the Atlanta District Office and has participated in a variety of examinations and investigations involving brokerage firms and registered representatives. He has been in management positions for 22 years and has also been involved in various regulatory and educational initiatives including developing and teaching supervision courses at the FINRA Institute. He received his Finance degree from Georgia State University and is a graduate of FINRA's Leadership Program at Wharton.

Laura Trotz is District Director of the Chicago District Office of FINRA. In her role as District Director, Ms. Trotz is responsible for overseeing District's Risk Monitoring and Examination programs. She has been with the Chicago District Office for 20 years; previously, as an Associate District Director responsible for the execution of the District's cycle and cause examination programs, Examination Manager responsible for managing a team of examiners for the cycle, cause and membership programs and as an examiner conducting cycle and cause examinations of member firms. Throughout her tenure, Ms. Trotz has been involved in several significant fraud and sales practice examinations and investigations. Ms. Trotz is a graduate of Illinois Benedictine College and has the Certified Regulatory and Compliance Professional™ designation from the FINRA Institute at the Wharton School of the University of Pennsylvania. She has completed the FINRA Leadership Program at the Wharton School and the Leadership Development Program at the Center for Creative Leadership.

Ed Wegener is Senior Vice President and Midwest Regional Director for FINRA. In that role, he is responsible for leading the department of Member Regulation's regulatory efforts for the region including its surveillance and examination programs. Mr. Wegener started with FINRA (fka NASD) in 1998. Since that time, he has lead or been involved in several significant fraud, sales practice and financial and operational examinations and investigations. He has served in a leadership role in a number of key strategic initiatives for the organization including the design and implementation of FINRA's risk-based, offsite, cybersecurity and digital asset examination programs. FINRA is responsible for regulating brokerage firms and licensed brokers doing business in the United States. The Midwest Region covers firms and individuals conducting securities business in the states of Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin. FINRA's Midwest Region is made up of approximately 130 surveillance and examination staff. Mr. Wegener is a graduate of Illinois State University and he has a Certified Regulatory and Compliance Professional™ designation from the FINRA Institute at the Wharton School of the University of Pennsylvania. He is also a Certified Anti-Money Laundering Specialist and Certified Fraud Examiner. Mr. Wegener has completed the FINRA Leadership Program at the Wharton School and the Leadership Development Program at the Center for Creative Leadership.

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- **Scott DeArmey, District Director, Sales Practice, FINRA Kansas City District Office**
- **Laura Trotz, District Director, Sales Practices, FINRA Chicago District Office**
- **Ed Wegener, Senior Vice President and Midwest Regional Director, Sales Practice, FINRA Midwest Region**