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Protecting Investors From High-Risk Brokers

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The risk that arises from financial brokers who engage in misconduct and the firms that employ them is an important area of focus for FINRA's regulatory program. While the vast majority of registered representatives work hard every day to serve their clients' interests, FINRA is aggressively investing new resources and leveraging new technologies to stop the small percentage of bad actors whose harmful actions undermine market confidence.

FINRA's President & CEO Robert W. Cook will outline how the organization is responding to rapidly changing challenges and protecting investors around the country from high-risk brokers.

The event is co-hosted by The Georgetown Center for Financial Markets and Policy & FINRA

► Monday, June 12, 2017

- 9:30 a.m. Light Refreshments
- 10:00 a.m. Remarks from Robert Cook
- 10:30 a.m. Q&A Moderated by Professor Reena Aggarwal, Robert E. McDonough Professor of Finance & Director, Georgetown Center for Financial Markets and Policy
- 11:00 a.m. Program concludes

► Georgetown University McDonough School of Business

Fisher Colloquium
Rafik B. Hariri Building
37th and O Streets, NW
Washington, DC 20057

The event is free and open to the public. Space is limited.
[Click here to register now.](#)

Directions/Parking: There is a public parking garage in the Leavey Center. If you are arriving via Uber/taxi, you can ask to be dropped off at the Georgetown Hotel and Conference Center, which is adjacent to the business school.