

Joint Investor Roundtables

University of North Georgia

WEDNESDAY

March 27, 2024

10:00 a.m. – 4:45 p.m. ET

Dalton State College

THURSDAY

March 28, 2024

10:00 a.m. – 4:45 p.m. ET

Join the U.S. Securities and Exchange Commission (SEC), the North American Securities Administrators Association (NASAA), and Georgia Secretary of State's Division of Securities for joint investor roundtables.

- This event is open to the public, and will feature a number of roundtables with retail investors, financial and investment literacy training, and the opportunity to meet with regulatory leaders and staff. You may submit your questions in advance to investorengagement@sec.gov
- Portions of the event will be available via live stream on [SEC.gov](https://www.sec.gov)



The joint investor roundtables will be an opportunity for investors, regulators, and members of the investment community to share their experiences with SEC, law enforcement, and regulatory staff. These roundtables offer unprecedented access to hear directly from retail investors on topics that are important to them, such as securities fraud, sales practices, and feedback regarding SEC/SRO activities and rulemaking. These events are designed to listen to investors and better incorporate their interests in future policy and practice.

SPEAKERS



CRISTINA MARTIN FIRVIDA

Investor Advocate, and Director, Office of the Investor Advocate U.S. Securities and Exchange Commission



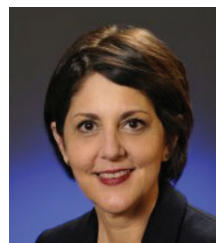
NEKIA HACKWORTH JONES

Director, Atlanta Regional Office U.S. Securities and Exchange Commission



CLAIRE MCHENRY

President, North American Securities Administrators Association (NASAA); and Deputy Director, Securities Bureau, Nebraska Department of Banking and Finance



NOULA ZAHARIS

Assistant Commissioner of Securities, Georgia Secretary of State Director, Georgia Securities & Charities Division