



**Robert L D Colby**

Chief Legal Officer

Financial Industry Regulatory Authority (FINRA)

As Chief Legal Officer of FINRA, Robert Colby oversees FINRA's rulemaking, interpretive, and corporate legal functions, as well as FINRA's Appellate Office, Office of Financial Innovation, and Departments of Advertising, Corporate Financing, and Dispute Resolution.

Previously, Mr. Colby was a partner in the law firm of Davis Polk & Wardwell LLP, where he advised on regulatory and compliance matters for financial institutions and markets.

Before joining Davis Polk, Mr. Colby served as Deputy Director in the SEC's Division of Trading and Markets. In that capacity, he was responsible for the regulation of broker-dealers, markets, and clearing organizations. Before serving as Deputy Director of the Division, Mr. Colby was Chief Counsel, and Chief of the Market Structure Branch.

Mr. Colby received his J.D. cum laude from Harvard Law School and his undergraduate degree summa cum laude from Bowdoin College.