

Association of Securities and Exchange Commission Alumni, Inc.

Presents



### Annual ASECA Dinner

and William O. Douglas Award Presentation

Monday, May 19, 2025

THE MARRIOTT MARQUIS, WASHINGTON DC

#### Welcome Letter

#### From the Outgoing President of ASECA

Dear Honored Guests, Fellow ASECA Members and Friends,

I am pleased to welcome you to the 30th Annual ASECA Dinner and Presentation of the William O. Douglas Award. As the Outgoing President of ASECA, I can honestly say that it has been a career highlight and my profound honor to serve as the President of ASECA's Board of Directors for the 2023-2025 term.

As I look back over the past two years, I note with great pride many of the new initiatives that my fellow Board members spearheaded during that period which expanded ASECA's efforts to support the securities industry and its members. Among these was the full endowment of the Judge Stanley Sporkin Scholarship at Georgetown Law Center, along with the overwhelmingly successful First and Second Annual Judge Stanley Sporkin SEC Enforcement Panels. We also launched our wonderful SIFMA Foundation Volunteer Partnership which provides ASECA members with a unique opportunity to volunteer to support financial education for America's youth.

And as always, this annual dinner represents the pinnacle of what ASECA stands for – not just an opportunity to celebrate the spirit of collaboration and excellence that defines our community, but a chance to honor one of our own. Tonight, I am particularly pleased that we will be awarding the William O. Douglas Award, symbolizing integrity, dedication, and the highest standards of service, to Robert Colby, a friend, colleague, and mentor to so many, and a truly deserving honoree.

Thank you all for being with us tonight. Your commitment to ASECA's mission ensures the ongoing success and growth of our organization. I am confident that ASECA will continue to thrive under the capable leadership of my successor, and I look forward to seeing the wonderful advancements that lie ahead.

Sincerely,

Annemarie Tierney ASECA President, 2023-2024

#### Welcome Letter

#### From the Incoming President of ASECA

Dear Esteemed Guests,

It is with great pleasure that I welcome you to the 30th Annual ASECA Dinner and presentation of the William O. Douglas Award. As the President of ASECA for the 2025-2027 term, I am honored to share this wonderful evening with so many distinguished alumni of the SEC, many of whom have traveled from across the country to be here.

Tonight, we come together not only to celebrate remarkable achievements and contributions within the securities law community, but also to support ASECA's mission through this important annual fundraiser. Your presence is a powerful testament to your commitment to excellence and integrity in our field, and for that, I am sincerely grateful.

We are especially excited to recognize this year's recipient of the William O. Douglas Award, Robert Colby, a figure who embodies the values and dedication for which ASECA stands. His contributions at the SEC, in private practice, and at FINRA have greatly impacted the field, and it is fitting that we honor him tonight.

As we enjoy the festivities, I encourage you to connect with old friends, make new acquaintances, and share your experiences and insights. The camaraderie and shared passion in this room are what make ASECA a vibrant and enduring community, particularly during this time of change and transition.

Thank you for your continued support and dedication to ASECA's mission. Together, we will continue to advance the field of securities law and uphold the principles that guide us.

Warmest regards,

Heather Traeger President, ASECA (2025-2027)

### Program

Annemarie Tierney
HeatherTraeger
Richard Ketchum
Robert Colby
Heather Traeger

#### **ROBERT COLBY**

#### 2025 William O. Douglas Award Recipient



The Association of Securities and Exchange Commission Alumni, Inc. (ASECA) is proud to present Robert Colby with the 2025 William O. Douglas Award. The William O. Douglas Award is presented to an SEC alumnus who has contributed to the development of federal securities laws or served the financial and SEC community with distinction.

ASECA President Annemarie Tierney said that, "Robert Colby is an excellent choice to receive the William O. Douglas Award and ASECA is delighted to bestow him

with this honor. His work in the field of securities laws development and his service in the financial and SEC community have been outstanding." Mr. Colby joined the SEC's Market Regulation Division directly from law school after a summer internship in the Division. He retired from the SEC after 27 years of service, including as Deputy Director (17 years), Chief Counsel, and Chief of the Market Structure Branch of the (renamed) Division of Trading and Markets. During this time, Mr. Colby was individually accorded the SEC's Capital Markets Award, Distinguished Service Award, and two Presidential Rank Awards (Distinguished and Meritorious Service).

For over a decade, Mr. Colby has served as FINRA's Chief Legal Officer, overseeing its rulemaking, appellate, legal, and compliance functions, as well as its Advertising Regulation, Corporate Financing, and Dispute Resolution departments.

2009 recipient of the William O. Douglas Award and colleague Richard Ketchum said, "Bob's long and illustrious career at the SEC allowed him to meaningfully impact each area of market regulation, ranging from enhancing the industry's financial responsibility to ensuring investor protection in the marketplace. In particular, Bob led the SEC's multiple decades efforts to impact the market's shift to electronic trading, enacting rules that insured market transparency, heightened competition between brokerdealers and also orders while ensuring that individual investors' orders received best execution." After leaving the SEC, Mr. Colby counseled financial institutions and markets as a partner in the law firm of Davis Polk & Wardwell.

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

#### DINNER MENU

Pickled Green Tomato and Burrata Cheese – gf, v Balsamic Charred Onion, Petite Greens, Corn Shoots, Olive Oil, Aged Vinegar



Bell & Evans Chicken Breast & Butter Poached Lobster Risotto – gf Curry Coconut Cream Sauce, Charred Pearl Onions, Grilled Seasonal Squashes

Ruby Torch Cake Chocolate Cake, Raspberry Cremeux, Chocolate Ganache

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\*as of April 30, 2025

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We are proud to sponsor the **30th Annual ASECA Dinner** and join in honoring this year's **William O. Douglas Award** recipient, **Robert Colby**.

We also congratulate **Chairman Paul S. Atkins** on his confirmation.

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Congratulations to this year's William O. Douglas Award honoree, **Robert Colby** 

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### Thank you for your service, **Bob Colby**

Best Wishes,

Greg Bruch, William Donnelly, Rory Flynn, Annemarie Gregoire, Diona Howard-Nicolas, Krista Hess, Chavette Jackson, Mark Radke, and Julie Smith

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We proudly support the Association of Securities and Exchange Commission Alumni, Inc.

and join in congratulating

### **Bob Colby**

on his selection as the 2025 William O. Douglas Award recipient



Cooley proudly supports ASECA and congratulates this year's William O. Douglas Award recipient, Robert Colby.

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### Covington is proud to support The 30th Annual

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### **Robert Colby**

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We are delighted to support ASECA and offer our best wishes to tonight's honoree, Bob Colby. We proudly support the ASECA and join in celebration of Robert Colby, the 2025 William O. Douglas Award honoree.

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Congratulations to this year's William O. Douglas Award recipient:

Robert Colby

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### Congratulations

Deloitte is proud to sponsor ASECA and applauds Robert L.D. Colby, recipient of the 2025 William O. Douglas Award.

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DTCC CONGRATULATES
Robert Colby

on receiving the William O. Douglas Award for his years of service and dedication.

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### **Congratulations!**

EY congratulates Robert Colby on his receipt of the 2025 William O. Douglas Award.

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## Proud Sponsor of ASECA

Faegre Drinker applauds **Robert Colby** as this year's William O. Douglas Award honoree. Congratulations!

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### FINRA Congratulates **Robert Colby** 2025 William O. Douglas Award Recipient

We are proud to commend Bob Colby, SEC alumnus and now FINRA Executive Vice President and Chief Legal Officer, for being named this year's William O. Douglas Award honoree.

Throughout his distinguished 44-year career in securities law—spanning 27 years at the SEC, as well as in private practice and now at FINRA— Bob has made significant and lasting contributions to protecting investors and ensuring market integrity in a vibrant securities industry.

Bob's professional excellence, unwavering integrity and strength of character continue to inspire his colleagues, past and present. We salute Bob's accomplishments in advancing these values and congratulate him on this well-deserved recognition.

FINCA.

### Celebrating Robert Colby

Our heartfelt congratulations to Robert Colby as the recipient of the 2025 William O. Douglas Award.

To learn more about the Foley Securities Enforcement & Litigation practice, visit:



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Congratulations to **Robert Colby,** recipient of the

William O. Douglas Award



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#### Congratulations to Robert Colby

on receiving the 2025 William O. Douglas Award, in recognition of his dedicated service to the finance community and the SEC.

Mayer Brown is proud to support ASECA's work to foster professional development and provide educational scholarships for SEC alumni.

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Bob, a well-deserved honor for all you've done for the strength, safety and integrity of our financial markets

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# Robert Colby

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# To Those Making a Difference

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and Congratulate This Year's Honoree

Robert Colby

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We congratulate this year's award recipient

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# **Robert Colby**

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William O. Douglas Award Recipient

30th Annual ASECA Dinner May 19, 2025

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Congratulations to our friend, Bob Colby, recipient of the 2025 William O. Douglas Award, in recognition of his distinguished service to the Securities and Exchange Commission.





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Womble Bond Dickinson (US) LLP proudly supports ASECA and congratulates 2025 William O. Douglas Award recipient, Robert Colby.

#### Greg Lawrence

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## Join us to support student financial education!

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• Judge student essays related to long-term savings and investing topics online.

#### Stock Market Game Ambassador

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ASECA is committed to honoring the memory of all SEC alumni. If you notice an omission from this list or become aware of the passing of a former colleague, please share the details — along with any available published obituary — with us at **info@secalumni.org**.

#### **ASECA Brings Value to SEC Alumni**

The Association of Securities and Exchange Commission Alumni (ASECA) provides value to its members in several ways. We welcome your membership and participation in our different programs.

1. ASECA provides the opportunity for former SEC commissioners and staff to find and re-connect with former colleagues and friends. Re-connect through social activities, including receptions and networking opportunities in the different SEC office cities. Our annual dinner provides an opportunity to gather in Washington DC during the PLI SEC Speaks conference. **Applaud the unique history and shared camaraderie of SEC alumni.** 

2. ASECA provides an opportunity to support education. Nearly one million dollars have been awarded in college scholarships to SEC staff and law school students pursuing careers in the field of securities law and compliance. **Invest in tomorrow's professionals.** 

3. ASECA coordinates interesting and informative webinars, highlighting unique careers, events, and individuals who have shared in protecting investors for decades. **Listen to those who talk about their journey.** 

4. ASECA bestows the William O. Douglas Award to a worthy SEC alumnus or alumna who has contributed to the development of the federal securities laws or served the financial and SEC community with distinction. **Honor those who have served with distinction.** 

5. ASECA members are afforded discount pricing for events, such as the annual dinner. **Membership has its perks.** 

6. Membership dues and donations to ASECA are tax deductible to the extent provided by law. **Become a member and save.** 

Visit www.SECAlumni.org for more information.

Join us online to stay connected year-round:



Engage with fellow alumni, share your journey, and expand your professional network.



Association of Securities and Exchange Commission Alumni, Inc.

Founded in 1990, the Association of Securities and Exchange Commission Alumni (ASECA) is a non-profit organization that fosters the shared history and unique camaraderie between SEC alumni globally. ASECA provides its members with the opportunity to (i) network and share information with fellow SEC alumni, (ii) support its robust scholarship program to further the education and growth of industry professionals, and (iii) recognize SEC alumni that have contributed to the development of the federal securities laws and/or served the financial and SEC community with distinction through ASECA's annual William O. Douglas award.

#### www.secalumni.org