



LORI SCHOCK

Director, Office of Investor Education and Advocacy; Chair, 2018 IFIE-IOSCO
10th Anniversary Conference Programme Committee
U.S. Securities and Exchange Commission (SEC)

Lori Schock has served since 2009 as the Director of the Securities and Exchange Commission's Office of Investor Education and Advocacy (OIEA)—the Commission's champion in providing America's investors with the tools and information they need to make wise investments and avoid fraud.

OIEA's critical mission includes helping investors understand the operations of the securities markets and the federal securities laws and assisting investors in resolving issues with regulated entities. The office participates in investor outreach events throughout the country and responds to thousands of questions and complaints from individual investors each year.

Ms. Schock is a leading expert on investor protection issues and advises the Commission and its leadership on all matters involving retail investors. She is frequently sought after to lead seminars to regulators and market participants both domestically and internationally and conducts investor workshops across the United States. She has testified before Congress and is regularly quoted by the media on investor issues.

Ms. Schock is a highly regarded voice in the investor community, providing her extensive knowledge and expertise by serving on several boards and commissions, including the Financial Literacy and Education Commission, Jump\$tart Board of Directors, Elder Justice Coordinating Council and Interagency Working Group and NASA's Advisory Council to the Committee on Senior Issues and Diminished Capacity.

Under her leadership, OIEA has expanded its investor outreach, increased its publication of investor alerts and educational materials on a wide range of topics and enhanced its investor assistance program. During her tenure as Director, OIEA became a driving force for multiple investor testing initiatives and diverse studies on investor issues for the Commission.

Ms. Schock spearheaded the SEC's first ever public service campaign for Investor.gov—the Commission's website dedicated to investor education, which was ranked as one of the best websites in the federal government.

Before coming to the Commission, Ms. Schock worked for FINRA's Office of Investor Education and was instrumental in launching the Center for Audit Quality. She started her career at the SEC in 2001 as a staff attorney, served as Special Counsel to the Director and became Deputy Director all in the same office that she leads today.

Ms. Schock has received several awards in recognition of her outstanding work as an advocate for investors, including Awards for Excellence from two different Chairmen for her efforts on the SEC's public service campaign and an initiative to protect senior investors. She also received a community service award for promoting financial literacy to students. She has written numerous articles on a variety of topics to educate all kinds of investors, including military service members, veterans and seniors.

She received both her law and master's of taxation degrees from the University of Akron and her bachelor's degree from Furman University.