

The Ketchum Prize

Recognizing Outstanding Service and Research to Advance Investor Protection, Financial Capability, and Financial Inclusion in the United States

Save this form using a file name containing the name of the nominee. Submit the completed form as an email attachment to finrafoundation@finra.org, using the subject line: "Ketchum Prize Nomination of [nominee's name]"

Background: The Ketchum Prize—honoring Richard G. Ketchum, the former chairman and CEO of the Financial Industry Regulatory Authority (FINRA) and a distinguished leader in the field of securities regulation—recognizes outstanding service and research to advance investor protection, financial capability, and financial inclusion in the United States. The prize is awarded annually by the FINRA Investor Education Foundation. The prize includes a \$10,000 honorarium and national recognition.

Eligibility: Nominees must have distinguished research or service achievements related to investor protection, financial capability, or financial inclusion in the United States. The following are not eligible to receive the Ketchum Prize:

- Organizations
- Prior Ketchum Prize recipients (see www.finrafoundation.org/awards)
- Staff or governance of FINRA or the FINRA Investor Education Foundation
- Individuals registered with FINRA or employed by a FINRA-registered firm
- Staff of any agency exercising oversight of FINRA
- Others for whom receipt of the prize would represent a conflict of interest or the appearance of conflict

Instructions: The nomination deadline is March 6, 2023. Only the successful candidate is notified of the prize outcome. Public announcement of the prize recipient will occur in October 2023. Each nomination must be submitted by a nominator, who must complete all parts of this form. Self-nominations are not accepted. A nominator may submit more than one nomination. The nomination must be limited to a total of three pages, including the cover page. Attachments are not permitted and will not be reviewed. Please use 10-point font size for Parts Two and Three and remember to date the nomination.

Part One: Cover Page

Today's Date (enter on the line above)

| Nominee Information | |
|--|--|
| Name (First, Last) Title or Position Organization Name Street Address City, State, Zip Code Area Code and Telephone Number Email Address | |
| Nominator Information | |
| Name Title or Position Organization Name Street Address City, State, Zip Code Area Code and Telephone Number Email Address | |

Part Two: Narrative

Please respond to items A through C, taking care to address the priorities below.

Priorities: In awarding the Ketchum Prize, the FINRA Foundation gives priority to nominees that:

- Made demonstrable improvements to investor protection, financial capability, or financial inclusion in the United States through research, education, or public communications.
- Addressed the needs or circumstances of underserved audiences.
- Modeled effective collaboration or partnership-building.
- Emphasized data analysis and data application in efforts to advance investor protection, financial capability, and financial inclusion.

A. Summarize the nominee's research or service achievements related to investor protection, financial capability, or financial inclusion in the United States. What makes these achievements unique or outstanding?

B. Describe the beneficiaries of the nominee's work and how they have benefited.

C. Provide two or three specific examples of how the nominee's work (methodologies, innovations, approaches, mentorship, etc.) has influenced the work of others in the field of investor protection, financial capability, or financial inclusion.

Part Three: Additional Information

Is there anything else you would like the reviewers to know about the nominee? You may provide link(s) to information directly related to the nominee's qualifications for the prize. Please do not include attachments.