

## So Long, Farewell and THANK YOU

### Financial Markets Association (Founded 1991)

Dear Friends and Colleagues,

In 1991, the Financial Markets Association (FMA) was founded by Malcolm Northam and Dorcas Pearce with a clear and focused mission: to provide education, support, and a professional forum for bank-affiliated securities dealers.

At a time when the regulatory and compliance environment was rapidly evolving, FMA stepped forward to serve professionals who needed specialized knowledge, practical guidance, and a trusted network of peers. What began as a vision became a vibrant and respected organization dedicated to advancing excellence in our industry.

Over the years, FMA developed and delivered a wide range of educational seminars tailored to attorneys, compliance professionals, risk managers, operations personnel, and senior leadership. Our programs included:

- **Securities Compliance Seminar**
- **Operations Conference**
- **Legal and Legislative Issues Conference**
- **Capital Markets ‘Supercourse’**

Through these programs, thousands of participants gathered to learn from regulators, attorneys, consultants, industry leaders, and—just as importantly—from one another. Our peer-to-peer workshops fostered candid discussion, practical problem solving, and enduring professional relationships.

FMA events were held in cities across the country, including Chicago, San Antonio, Washington (DC), Fort Lauderdale, Miami, Dallas, Nashville, Phoenix, and Charlotte—each location contributing to the strong sense of community and shared purpose that defined our organization.

Beyond the formal sessions, it was the spirit of collaboration, integrity, and mutual support that truly distinguished FMA. The conversations in conference rooms, the insights exchanged over meals, and the professional friendships formed along the way became lasting hallmarks of our work together.

After many meaningful and productive years, we now bring the chapter of the Financial Markets Association to a close. While the organization concludes its formal activities, its legacy lives on in the knowledge shared, the careers strengthened, and the professional standards elevated.

We extend our deepest gratitude to our key supporters, speakers, sponsors, volunteers, and loyal attendees. Your commitment, expertise, and participation made FMA not just an association, but a community.

Thank you for your trust, your engagement, and your dedication to excellence in the financial markets.

With appreciation and respect,

**Dorcas Pearce**

Co-Founder

Financial Markets Association

**Malcolm Northam**

Co-Founder