

Elisse B. Walter

Elisse Barbara Walter is Senior Executive Vice President, Regulatory Policy & Programs. In this capacity, she oversees the Departments of Corporate Finance, Advertising Regulation and Investment Company Regulation, the Office of Disciplinary Affairs and the Regulatory Policy & Oversight Office of General Counsel, as well as leading NASD's investor education efforts, including the NASD Investor Education Foundation.



Ms. Walter has directed NASD's efforts to improve regulation in the sale of mutual funds. She managed three NASD task forces that brought important rule proposals and investor protection initiatives in this area: the Joint NASD/Industry Task Force on Breakpoints, the Mutual Fund Task Force and the Omnibus Account Task Force.

Prior to joining NASD, Ms. Walter served as the General Counsel of the Commodity Futures Trading Commission. As General Counsel, she was responsible for litigation, drafting administrative decisions, legal advice, drafting rules, and interpreting the Commodity Exchange Act. Before joining the CFTC in 1994, Ms. Walter was the Deputy Director of the Division of Corporation Finance of the Securities and Exchange Commission. She served on the SEC's staff since 1977, in that Division and the Office of the General Counsel where her responsibilities ranged from litigation to legislation and advisory functions. Prior to joining the SEC, Ms. Walter was an attorney with a private law firm.

Ms. Walter serves on the Board of Trustees of Jewish Women International and the SEC Historical Society. She is a member of the Academy of Women Achievers of the YWCA of the City of New York. She also has received, among other honors, the Presidential Rank Award - Distinguished, the SEC Chairman's Award for Excellence, the SEC's Distinguished Service Award, the Federal Bar Association's Philip Loomis Award, and the Federal Bar Association's Manuel F. Cohen Younger Lawyer Award. She graduated from Yale University with a B.A., cum laude, in mathematics and received her J.D. degree, cum laude, from Harvard Law School.