

Mercer Bullard

Selected Recognition

Cited by MarketWatch as potential SEC Commissioner nominee in 2015

Named by Investment News in 2001 and 2009 as one of nation's most influential persons in the financial services industry (along with U.S. Senators Dodd and Kohl, U.S. Rep. Paul Kanjorski, SEC Chairman Mary Schapiro, FINRA Chairman & CEO Rick Ketchum, NASAA President Denise Crawford)

Named by Registered Rep. Magazine as one of the "Ten to Watch in 2004;" as one of four "Fund Titans" for 2004 by a mutual fund trade publication Ignites.com; by BusinessWeek for leading the fight for shareholders' rights; by CBSMarketWatch for advocacy on behalf of mutual fund shareholders; by former SEC Chairman Levitt as one of four leading investor public interest groups (along with AFL-CIO, Consumer Federation of America, and North American Securities Administrators Association (state securities commissioners))

Featured in segment on the mutual fund scandal on The NewsHour with Jim Lehrer (filmed at the University of Mississippi, Oct. 11, 2003) (video available at http://www.pbs.org/newshour/bb/economy/july-dec03/funds_11-03.html#)

Featured in: Jonathan Burton, Holding Mutual Funds to the Fire: Investor Advocate Mercer Bullard on Independent Boards and Greedy Brokers, MarketWatch (Mar. 26, 2007) (Q&A) (also appearing in Barron's); A Crusader for the Small Investor: Mercer Bullard, Money Magazine 28 (May 2006); Tony Chapelle, Mercer Bullard Puts the Bite on Broker Issues, On Wall Street 60 (March 2005); Matt Andrejczak, Fund Crusader: Bullard Confronts an Industry -- and Its Regulators, CBSMarketwatch (Jan. 22, 2004) (Q&A); Debra Ryono, Mutual Antipathy, Worth at 47 (July 2004) (Q&A); Robert Barker, The Unsung Hero of Fund Investors, Business Week (Nov. 27, 2000); Vern Hayden, Ex-SEC Official an Effective New Voice for Fund Owners, TheStreet.com (Oct. 4, 2000)

Appearances on ABC News, NBC Nightly News with Tom Brokaw, BBC, Bloomberg Television, CNBC, CNN.fn, C-Span, Kudlow and Cramer, Miss. Public Television, NPR, USA Channel, Wall Street Week, WBIX and other television and radio venues

Quoted on more than 1,000 occasions in in major newspapers and financial publications, including Forbes, Fortune, Newsweek, Business Week, Washington Post, New York Times, Los Angeles Times, Chicago Tribune, Wall Street Journal, San Francisco Chronicle and USA Today, including:

- Leslie Norton, *The DOL Fiduciary Rule Still has Momentum*, Barron's (Feb. 4, 2017)
- Knut Rostad, *How President Trump's Conflicts Can Help RIAs*, ThinkAdvisor (Jan. 25, 2017)
- Mark Schoeff, Jr., *If DOL Fiduciary Rule Dies, SEC May Seek to Fill Void*, Investment News (Jan. 9, 2017)

- Nick Thornton, *IMO Makes Targeted Claim Against DOL Rulemaking Procedures*, Benefitspro (Sep. 27, 2016)
- Bruce Kelly, *Nicholas Schorsch Could Be in Government's Crosshairs*, Investment News (Sep. 12, 2016)
- Melanie Waddell, *FINRA Reminds BDs of Arbitration Rights for Clients, Reps*, ThinkAdvisor (July 29, 2016)
- *'Robo-Advisers': A Threat or an Opportunity for Fintech?* M2 Presswire (June 15, 2016)
- Beverly Goodman, *T. Rowe Price's \$194 Million Blunder*, Barron's (June 11, 2016)
- Andrew Ackerman & Leslie Scism, *Retirement Retirement-Savings Rule Faces Industry-Led Court Battle*, Wall St. J. (June 1, 2016)
- Tara Seigel Bernard, *The Pros and Cons of Using a Robot as an Investment Adviser*, N.Y. Times (Apr. 29, 2016)
- Trevor Hunnicutt, *ETF Pioneer Raises Doubts about Funds He Promoted*, Reuters (Apr. 28, 2016)
- Daisy Maxey, *A Mutual-Fund Fee Falls Out of Favor*, Wall St. J. (Apr. 22, 2016)
- Elizabeth Leary, *Retirement Savers Get New Legal Protections*, Chicago Tribune (Apr. 18, 2016)
- Heather Long, *The 1st question to Ask Your Financial Adviser*, CNNMoney.com (Apr. 11, 2016)
- Elizabeth Leary, *What the Government's New Financial-Adviser Rule Means to You*, Kiplinger (Apr. 7, 2016)
- Michael Wursthorn, Anna Prior and Yuka Hayashi, *U.S. Softens New Retirement Rule*, Wall St. J. (Apr. 6, 2016)
- Anna Prior and Leslie Scism, *Rules for Indexed Annuities Face an Unexpected Tightening*, Wall St. J. (Apr. 6, 2016)
- Owen Davis, *Obama's Conflict-Of-Interest Rule Could Rattle Edward Jones, An Investment Giant*, Internat'l Bus. Times (Apr. 5, 2016)
- Yuka Hayashi, *5 Things to Watch on the Retirement-Advice Rule*, Wall. St. J. (Apr. 4, 2016)
- Landon Thomas, Jr., *A New Focus on Liquidity after a Fund's Collapse*, N.Y. Times (Jan. 11, 2016)
- Amy Feldman, *How Mutual Funds Should Handle Illiquid Investments*, Barron's (Jan. 8, 2016)
- Landon Thomas, Jr., *Junk Bond Fund's Chief Departs After Blocking Withdrawals*, N.Y. Times (Dec. 14, 2015)
- Susan Tompor, *Watch Out for Money Traps with All-or-Nothing Bets*, Detroit Free Press (Nov. 12, 2015)
- *SEC Opens Door to Crowdfunding Stock Sales*, Boston Herald & Houston Chronicle (Nov. 2, 2015) (Associated Press)
- Jack Newsham, *New SEC Rules to Allow Startup Investing for All*, Boston Globe (Oct. 31, 2015)
- James Rufus Koren, *SEC Eases Equity Rules*, L.A. Times (Oct. 31, 2015)
- Mike Cherney, *Lawmakers to Introduce Bill That Subjects Puerto Rico Funds to Federal Regulations*, Wall St. J. (Sep. 25, 2016)

Updated Feb. 6, 2017