



Yale SCHOOL OF MANAGEMENT
Program on Financial Stability

Lessons Learned Oral History Project

Erik Sirri

The Yale Program on Financial Stability (YPFS) reached out to Erik Sirri to request an interview regarding his time as director of the Division of Trading and Markets at the US Securities and Exchange Commission (SEC) from 2006 to 2009 and, more specifically, the SEC's regulatory objectives and concerns during the Global Financial Crisis (GFC). In his post, Sirri was responsible for matters relating to the regulation of stock and option exchanges, national securities associations, broker-dealers, clearing agencies, transfer agents, and credit rating agencies. He is currently a professor of finance at Babson College. His research interests include the interaction of securities law and finance, securities market structure, investment management, and capital markets.

[Full Interview Transcript](#)

[Lesson Learned Summary](#)