Candidate Profile Form—Regional Committee Election

Candidate Name: **Diana Perlman**

Title: **Deputy Chief Compliance Officer** Firm: **VP Distributors, LLC**

Candidate Biography and Personal Statement

In consideration to serve on the North Region Committee representing District 11, I am interested in serving as a committee member to share my extensive expertise and knowledge in the industry while collaborating with other committee members and member firms on current issues and offering perspective on potential solutions. I believe my experience with diverse types of broker dealer firms will provide valuable insight for the committee. I value the importance of various points of view and opinions and believe I would make a valuable contribution as a representative of the committee.

I have been in the financial services industry and a licensed securities professional for over 25 years and currently hold FINRA Series 6,7,14,24,52, 53,& 63 licenses. My compliance experience in the broker dealer industry covers retail, institutional, wholesaler as well as variable annuity and variable life insurance markets serving various compliance roles and assisting firms with building, managing, executing, and maintaining compliance programs. I am currently appointed as the Deputy Chief Compliance Officer for VP Distributors, LLC the broker dealer for Virtus Investment Partners, Inc. and lead a team of compliance professionals under the direction of the Chief Compliance Officer.

Prior to joining VP Distributors, LLC, I was Vice President, Compliance of State Street Global Markets, LLC ("SSGM, LLC") executing several regulatory compliance functions, including anti-money laundering and regulatory exams. I have also severed as the Deputy Chief Compliance Officer and Chief Anti-Money Laundering Officer for MML Investors Services, ("MMLISI") and Chief Compliance Officer for MMLISI Financial Alliances, LLC. ("MMLISI FA").

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: