

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Richard J Carlesco Jr**

Title: **CEO**

Firm: **IBN Financial Servic**

### Candidate Biography and Personal Statement

I have been in the financial services industry since 1991 and started my career with Prudential Financial Services in Syracuse, NY where I quickly became one of the top advisers in Central New York, winning Prudential's Academy of Honor Award and also promoted to manager in my first year also earning his LUTCF (Life Underwriting Training Council Award) in 1992.

Starting my own firm in 1999, IBN Financial Services, Inc. as a FINRA Broker Dealer. The firm started with ten registered representatives and currently has over 70 reps all over the country. Growing this firm has always been a passion, always believing that people wanted to be treated by the "platinum rule" treat people the way they want to be treated. Clients always come first. That has been the consistent message I have presented to my clients and my representatives ever since I started my career.

Living in the Liverpool, NY area (a suburb of Syracuse) since 1980 and have been married to Kelly since 1982. I am also an avid Syracuse University sports fan and love golf. Myself and friends and family started a charity in 2014 called Victory for Vets, Inc. raising hundreds of thousands of dollars to help veterans with Post Traumatic Stress get service dogs. I was also the past president of a local home for the elderly called The Ladies Home of Oswego an institution in Central New York since 1872.

I have always been a vocal member of FINRA and have voiced my concerns with direction of our organization with three of the small firm FINRA Board Members. Small firms have been severely under represented in FINRA since the merger. I have watched small firms disappear at alarming levels. I am fighting for our survival. I have always had a upfront and transparent relationship with FINRA and enjoy the personal relationships I have several FINRA personel. I have always found that having an open dialog with our regulators has benefited my firm.

At this point in my career I feel that I could be of value to both FINRA and our member base by bringing my experiance of over 30 years with FINRA as a representative and Broker Dealer and putting that to good use within the FINRA infastucture.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Jason Gerb**

Title: **SVP, Chief Regulatory Officer**

Firm: **Osaic**

### Candidate Biography and Personal Statement

My name is Jason Gerb and I'm running for an open North Region Regional Committee Seat. I'm currently the Chief Regulatory Officer at Osaic Weath, Inc. (formerly known as Advisor Group) which is a network of broker-dealers and investment advisors. In my current role; I am responsible for adminisistering the regulatory program for a network of over 11,000 financial advisors.

Additionally, I serve as the Senior/Elder Issues Officer for the Osaic network and am responsible for all issues pertaining to senior and vulnerable investors. This is an area I am most passionate about; as well as, an area where we as an industry need to come together to develop proactive solutions for our most vulnerable investors that fall victim to fraudlent schemes.

I have been a lifelong compliance professional with more than 25 years of experience.. Prior to Osiac some career highlights included serving as the Chief Compliance Officer for Foresters Financial Services and its affiliated entities, and Chief Compliance Officer of Equinox Fund Management and its affiliated entities. I was also fortunatel to serve over six years as a FINRA Principal Examiner in the New Jersey District Office. I continue to remain active in the industry as speaker and panelist at FINRA and NSCP conferences and has previously served on the FINRA District 10 New York Region Regional Committee, and various committees for SIFMA, ICI, and NSCP.

I earned a BA in Political Science and a Minor in Pre-Law from Montclair State University in my home state of NJ. I currently hold the FINRA Series 7, 24, and 66 licenses, the Certified Regulatory Professional (CRCP) designation,the Certified Anti-Money Laundering Specialist (CAMS) designation, and previously served as a FINRA National Regulatory Expert (Mutual Funds/Variable Products) during my tenure at FINRA.

As a previous Regional Committee member in the NY Region; I was unable to completed my elected term due to a Firm change. I would love the opportunity to continue the work I started and add value to the North Region Regional Committee. I would love to utilize my diverse set of skills and background as a former regulator and current Chief Compliance Officer to lend perspective from each lens.

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Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Caroline K. Hall**

Title: **Chief Compliance Officer and Deputy General Counsel**

Firm: **Janney**

### Candidate Biography and Personal Statement

I have had the privilege of serving in various roles in the financial services industry for over 25 years. I began my career as an associate at a law firm in NYC, handling large litigations and regulatory matters for financial services firms and their registered representatives. From there, I moved to an in-house legal role with UBS, where over the course of the next 10 years I served as Regional Counsel (providing legal advice to the Regional Director and Branch Management Teams), Head of Early Dispute Resolution (managing the case load after the 2008 market issues for UBS with a team of roughly 20 people) and Senior Regulatory Counsel (handling significant regulatory matters for the firm). In 2014, I joined Raymond James in St Petersburg and served as their Head Regulatory Counsel for 5 years, leading a team of lawyers and paraprofessionals in representing the Firm in a myriad of SEC, FINRA and various other regulatory enforcement matters.

In February 2019, I joined Janney Montgomery Scott in Philadelphia as their Chief Compliance Officer and Deputy General Counsel. In this role, I manage a team of roughly 30 compliance professionals handling diverse compliance functions such as AML, Surveillance, Licensing & Registration, Branch Exams and Capital Markets.

It would be a pleasure and an honor to serve on the Regional Committee and share my knowledge and understanding of the various issues facing the industry. I would relish applying that knowledge to the issues confronting the industry and investing public while helping develop workable solutions for firms of all sizes. I hope to continue to learn and grow my knowledge and understanding of new issues facing the industry while developing relationships with other Firm district leaders in an effort to collaborate and establish industry best practices.

### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Jeff Johnson**

Title: **Chief Compliance Officer**

Firm: **Pacer Financial, Inc.**

### Candidate Biography and Personal Statement

I am currently the Chief Compliance Officer at Pacer Financial, Inc. and Pacer Advisors, Inc. Our office is located in Malvern, Pennsylvania. I manage the daily compliance operations for both entities, one which creates our suite of ETF products and the other which distributes our ETF products.

I graduated Villanova School of Law in 2003 and practiced litigation and business law in Philadelphia for several years before transitioning to the securities industry. I was a producer for several years before focusing my attention on compliance. I became intrigued with the ever-changing regulatory environment in the securities industry and have a passion for what compliance professionals provide to our industry.

My goal is to ensure our employees are knowledgeable and informed about the regulatory landscape. I provide training to new hires and follow up training throughout the year. I maintain all firm compliance policies and procedures, monitor all correspondence, conduct marketing and advertising reviews, and instill an atmosphere of compliance throughout the company.

I previously worked at Lincoln Financial Distributors in Radnor, Pennsylvania as both a wholesaler and in the Legal and Compliance departments. I have worked with managed accounts, mutual funds, ETF's, life insurance and variable and fixed annuities. I hold FINRA Series 7, 24, 26 and 66 licenses as well as active attorney licenses in Pennsylvania and New Jersey.

By running for this election, I hope to offer my skills as a resource to our industry and to facilitate positive change in the field of compliance. I believe my background would allow me to provide unique insight and feedback and allow me to represent my district with confidence and objectivity.

Thank you.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/jeff-johnson-b7603986/>

Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Nick Leighton**

Title: **Associate Chief Compliance Officer**

Firm: **Hornor, Townsend &**

### Candidate Biography and Personal Statement

Nick Leighton is the Associate Chief Compliance Officer of Hornor, Townsend & Kent, LLC ("HTK"). HTK is an insurance affiliated, dually registered Broker Dealer/Registered Investment Adviser with over 500 independent Financial Professionals operating in all 50 states. In his role as Associate Chief Compliance Officer, Nick is responsible for all aspects of the compliance program, including policies and procedures, monitoring and testing, developing risk assessments, education, and coordinating examinations with regulators including FINRA, SEC and States, as applicable. Nick has been with HTK for five years. Prior to his current role, he was Director of Broker Dealer Services for HTK, where he was responsible for the Operations and Supervision Departments.

Before HTK, Nick was a FINRA Senior Examiner in the Philadelphia District Office, where he led and conducted exams on Member Firms of various sizes and business models in District 9 and throughout the Mid-Atlantic.

Nick brings a unique perspective to the Regional Committee because of his experience on both sides of the examination process and his understanding of the challenges facing Member Firms. He is passionate about problem solving and collaboration and his experience will make him a strong advocate in the Committee.

Nick lives with his wife and two young boys outside of Philadelphia and, in his free time, enjoys cycling and spending time with his family.

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Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Stephanie Mumford**

Title: **Chief Compliance Officer/Managing Legal Counsel**

Firm: **T.Rowe Price Investm**

### Candidate Biography and Personal Statement

Thank you for considering me to represent member firms as a FINRA Regional Committee member. I believe my over 25 years of securities industry experience at member firms, the SEC and FINRA has provided me with a detailed understanding of the rules, regulations, and procedures of the securities industry. I hope to bring this experience to the committee on behalf of member firms. I previously served on the District 9 Committee, FINRA's Large Firm Advisory Committee and am currently winding down my term as Chair for FINRA's National Adjudicatory Council. I find serving on committees to be insightful and rewarding by providing feedback to FINRA regarding current or anticipated issues as well as reviewing disciplinary actions to ensure the conduct and sanctions align.

Currently, I am Chief Compliance Officer and Managing Legal Counsel of T. Rowe Price Investment Services, Inc. In addition, I am Head of Compliance for other entities at T. Rowe including two transfer agents, retirement recordkeeping, and T. Rowe's retail investment adviser. I enjoy working on the industry side and have a strong appreciation for the complex regulatory environment and desire to participate in shaping the future of the industry as well as providing insight regarding concerns.

Prior to joining T. Rowe, I was a Special Counsel at the Securities and Exchange Commission's Division of Trading and Markets and Senior Counsel in the Office of Compliance Inspections and Examinations (n/k/a Division of Examinations). My responsibilities included evaluation and approval or disapproval of proposed rule change filings from SROs regarding all aspects of their business including fees, trading, operations, and other programs. I also co-led the oversight of the Alternative Trading Systems Program. This entailed reviewing filings made pursuant to Regulation ATS, assessing the adequacy of the filings which involved analyzing and understanding the operations of the trading system, and being a subject matter resource for both internal and external sources. In addition, my experience includes composing rule proposals, concept releases and SEC reports for regulatory initiatives. At the SEC in OCIE, my responsibilities included inspections of SROs as well as trading operations and practices of other financial entities including broker/dealers, electronic communication networks and Alternative Trading Systems.

Prior to my positions at the SEC, I worked in FINRA's Market Regulation Department. In Market Regulation, I was responsible for assessing potential rule violations against member firms and individuals for sufficiency of evidence and settlement of disciplinary matters. I handled matters in a variety of subject areas including market manipulation, trade reporting, order handling, and short sales. Before FINRA, I held compliance positions in the industry with LPL Financial Services and Vanguard.

I appreciate the opportunity to be considered as a member of the Regional Committee and represent District 9 member firms.

Thank you,  
Stephanie Mumford

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: **Jeffrey Pasquerella**

Title: **Global Chief Legal Officer**

Firm: **Drivewealth LLC**

### Candidate Biography and Personal Statement

I am currently the Global Chief Legal Officer for Drivewealth. Drivewealth is a pioneer in fractional securities investing and serves as a clearing firm powering retail trading experiences for many partners globally. In my time at Drivewealth i have served as CCO and then Global Head of Business Development until being recently named GCLO.

Prior to Drivewealth, I began my career as a Assistant District Attorney in the Westchester District Attorney's Office and joined NASD, which became FINRA, in 1998. I went out to serve at FINRA for over 17 years including serving as the District Director for the NY District Office and finally as a SVP and Regional Director for the South Region, After leaving FINRA, i joined UBS as Head of Financial Crimes Compliance in the Americas. Next I joined Cape Securities and American Global Wealth Management in Atlanta as COO and GC.

My background as both a regulator and working for firms gives me a unique prospective that will enable me to help bridge the communication gap between industry and FINRA while championing firm issues. Further, my industry experience having served multiple times on both the business and compliance/legal side add a further unique perspective to my candidacy.

I am thankful for the opportunity to serve on the committee.

### Optional Links:

Link to personal website, resume or CV: [https://www.linkedin.com/in/jeff-pasquerella-587a2166?utm\\_source=](https://www.linkedin.com/in/jeff-pasquerella-587a2166?utm_source=)

Link to YouTube video: