

Candidate Profile Form—Regional Committee Election

Candidate Name: **Shauna Blake**

Title: **Senior Vice President, Head of Supervision**

Firm: **LPL Financial**

Candidate Biography and Personal Statement

I am extremely interested in becoming a part of the FINRA Regional Committee for a number of reasons - to further collaborate with industry peers, stay on top of regulatory trends and rule changes, be able to share areas of regulatory concern that impact my firm and keep key LPL stakeholders informed of the valuable work that this committee is involved in.

By way of background I started working in financial services back in 2002 in Manhattan shortly after the 9/11 attacks. I got my start at Merrill Lynch on Fifth Avenue and moved to UBS shortly thereafter as the advisors I supported were recruited to that firm. This advisor support, client-centric role gave me an appreciation for this business - at the end of the day we are helping the American public work toward financial freedom but it's important to protect them along the way. Following those roles, I transitioned into the Compliance space. I held a variety of Compliance roles at UBS and then Morgan Stanley (MS), where I was for nine years, where I built out a supervision team with an offshore and nearshore footprint, led the Marketing Review and Annuity review functions, and even served as Chief of Staff for our Chief Risk Officer. It was a rich career at MS but in 2015 I was recruited by former MS colleagues to LPL Financial. Hailing from New Jersey I had to make a move to South Carolina with my husband and my two little boys, then 1 and 3, so it was a leap of faith but one of the best decisions I could have made. I left behind my four hour round trip commute from NJ to Manhattan and traded it in for a five minute commute, an even richer career, and more time to spend with my young family. I have been at LPL for eight years now and I am responsible for all of Supervision. This includes brokerage, advisory and complex product reviews, onboarding and outside business activities, marketing, registrations and even our Compliance call center. It's truly been a journey from a career perspective and I am challenged yet excited about the opportunity in front of me.

Personally, I am a highly motivated, innovative, and a critical thinker who loves collaboration with peers and continuous improvement. I love to learn and stay on top of relevant matters so that I can add value in my day to day. I'm an extremely hard worker, loyal and trusting and think I could do a great job should I be elected to the committee. My family has grown since I moved to SC and those "little" boys are now 11 and nine, and my daughter is four.

Thank you again for your consideration, I think I would add a lot of value to the committee and I hope to hear from you soon.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Scot Galvin**

Title: **Sr Director and Chief Operating Officer**

Firm: **Robinhood Securities**

Candidate Biography and Personal Statement

Scot Galvin has over 24 years in the financial services industry. He has spent the last 6 years at Robinhood Markets, Inc., starting as Manager of Margin and Treasury/Cashiering and is now the Chief Operating Officer of Robinhood Securities, overseeing all operations for the Clearing broker dealer. Prior to Robinhood he was the Director of Margin and Options at TradeKing/Ally Financial for 12 years. Scot began his career in 1999 at Morgan Stanley Online, and was a research analyst at Weiss Research.

Scot currently serves on the CBOE Advisory Board and is a member of SIFMA's Listed Options Trading Committee, Capital and Margin Committee, and Operations Committee (Red Group), as well as STA's Listed Options Committee and OCC Round Table. He holds his Series 7, Series 63, Series 24, Series 4 and Series 27 FINRA registrations.

As the Chief Operating Officer of Robinhood Securities I feel it is important to have representation from our firm to extend the dialogue that we have with our regulators. We are one of the largest non traditional firms in the nation and the largest firm operating in District 7. Continuing to improve the dialogue between regulators and retail can only benefit all.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Paula K Heffron**

Title: **Chief Compliance Officer**

Firm: **First Citizens Investo**

Candidate Biography and Personal Statement

Currently serving as the Chief Compliance Officer for a dual registrant broker-dealer, investment adviser, and insurance agency, two affiliate investment advisers, and an affiliated registered broker-dealer. Each entity diverse in target market, customer base, and delivery channel(s).

Over twenty years of progressive retail broker-dealer, investment adviser, and insurance agency experience. Compliance related experience includes serving as the Chief Compliance Officer, testing and monitoring, third-party risk management, regulatory change management, compliance and operational risk management, registration and licensing, and developing tactical and strategic plans, mergers and acquisition integration, key risk indicator development and tracking, and project management. Leadership experience includes over fifteen years of experience in financial services or in retail management. Regulatory exposure consists of the Federal Reserve, OCC, CFPB, FINRA, SEC, MSRB and state regulatory bodies.

I am committed to professional development that includes continuing to learn the regulatory landscape from both an individual, firm, and regulator perspective. I feel the participation in activities such as the Regional Committees helps to bridge communications and perspectives.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Joquinn T. Sadler**

Title: **CEO**

Firm: **Nortlov Securities, LL**

Candidate Biography and Personal Statement

J. Thomas Sadler

jtsadler@nortlovsecurities.com

Mr. Sadler has over 25 years of experience in the Financial Service industry. He entered the securities industry in 1995 as a Stockbroker with a boutique New York Firm, where he quickly climbed the ranks of their top producing brokers. He was one of the founding members of Morgan Wilshire Securities in 1998 and helped establish and train their sales force. He moved on to Vanguard Capital in 2002 where he was a principal / broker of an independent branch. It was in 2006 that he and a business partner decided to start their own broker/dealer, IFS Securities, an independent minority owned Broker / Dealer in Atlanta, Georgia.

As the CCO and COO, Mr. Sadler educated and empowered the sales team, as well as ensured that the company complied with regulatory requirements relating to the firm's lines of business, which included retail and institutional sales, corporate and municipal underwriting. He was the main liaison between the firm and FINRA, the SEC, the NFA, and State regulatory boards.

In 2009 Mr. Sadler passed his insurance exam, qualifying him, and in turn the firm, to sell Life, Health, and Variable Annuities. That same year he leveraged the Series 65 exam, passed in 2005, to launch SB Advisory, LLC., a state registered RIA. He helped grow this business to the point where in 2012 the firm was able to qualify for registration with the Securities and Exchange Commission.

In 2018 he helped found San Blas Securities, LLC a full-service Broker/Dealer, whose platform includes Capital Markets and an Advisor Network.

In 2021 he left San Blas Securities in order to launch Nortlov Securities, LLC. A start-up FINRA member broker-dealer. The Firm was approved by FINRA in May of 2023.

In 2011 he founded Ibis Compliance & Financial Services, where he currently consults and contracts his many years of compliance and supervisor services to several broker/dealers, introducing brokers and RIA's.

Education

Georgia State University - J. Mack Robinson College of Business

Professional Licenses

Optional Links:

Link to personal website, resume or CV: **www.nortlovsecurities.com <https://www.linkedin.com/in/sadler35>**

Link to YouTube video: **<https://www.facebook.com/TheReasoningPodcast/videos/576356553823603>**

Candidate Profile Form—Regional Committee Election

Candidate Name: **Robert Sykes**

Title: **Chief Compliance Officer**

Firm: **Ally Invest Securities**

Candidate Biography and Personal Statement

As the Chief Compliance Officer for Ally Invest, I have compliance responsibilities for both our self-directed Broker-Dealer (Ally Invest Securities) and our Registered Investment Advisor (Ally Invest Advisors). I am responsible for providing regulatory and compliance considerations ranging from daily activities to strategic initiatives. We have fostered positive and productive relationships with regulatory agencies and enhanced our working relationship and communication with our clearing firm. I am a proponent of listening to differing viewpoints and working towards solutions that work best for the collective group.

While I am primarily focused on specific broker-dealer activities and issues, I also have compliance responsibilities with our Bank Holding Company parent, so I have experience dealing with the interaction and inherent nuances with the BHC structure.

Prior to my current role, I was CCO at a broker-dealer primarily focused on private placements.

I believe my current and prior roles, including membership on several industry-related committees, have positioned me well to be an industry representative on the Regional Committee. I will strive to ensure all voices are heard – from small to large broker-dealers, understanding that not all regulations or proposed regulations will require the same resources and efforts for adherence. Equitable impacts will be the goal.

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