

Candidate Profile Form—Regional Committee Election

Candidate Name: **Daren Bryan**

Title: **Manager, Branch Office Compliance**

Firm: **EFSI**

Candidate Biography and Personal Statement

My name is Daren Bryan. I'm currently the Manager of Branch Office Compliance for Empower Financial Services, Inc. (EFSI), a broker dealer based out of Greenwood Village, CO. My team's primary responsibility is to conduct inspections of our firm's branch and non-branch locations. In addition, my team oversees all Form BR filings, as well as assisting with reviewing new regulatory requirements and recommending/implementing necessary changes.

I have worked in the financial services industry for 25 years and have worked at EFSI (formerly GWFS Equities, Inc.), all within the Compliance department, for over 13 years. I hold a B.S. in Business Administration and a M.S. in Management from Regis University, as well as a Master of Legal Studies from Drexel University.

As a full-time remote employee for over a decade, I have firsthand experience on both the benefits and challenges of working in a virtual environment and can speak to the experiences, both positive and negative, regarding the ability to conduct remote inspections for the past few years.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

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Candidate Name: **Janice Hernandez**

Title: **Compliance Officer**

Firm: **Wilson-Davis & Co.**

Candidate Biography and Personal Statement

I am running for a seat on the Regional Committee, specifically the Western Regional District 3, because there is a need for additional representation from the clearing firm industry. I believe that fairness and reasonableness in the application of laws, rules, policies and procedures help protect both the customers and the firms (including small firms).

I have over 25 years in the financial industry as it pertains to broker dealers, real estate and various aspects of the legal industry with degrees in Criminal Justice, Psychology, and Paralegal Studies. I am currently a Compliance Officer with Wilson - Davis & Co., Inc., a clearing firm located in Salt Lake City, and I hold a Series 7, 63, and 24 as well as being a member of ACAMS. Additionally, I have experience being a committee member for 7 years in the arena of mediation, arbitration, and grievance hearings for the Salt Lake Board of Realtors.

I am excited to have the opportunity to continue to learn, grow and contribute in the securities industry and I believe being able to serve on the Regional Committee is an open door that will allow that to happen, so hopefully you will vote for me.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

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Candidate Name: **Michael S. Schoonmaker**

Title: **President of M Holdings Securities**

Firm: **M Holdings Securities**

Candidate Biography and Personal Statement

Michael is the Head of Wealth Solutions at M Financial and oversees M Financial Group's wealth management businesses, which support Member Firms through customized solutions, systems, and processes. In this role, he is also the President and CEO of M Holdings Securities, a duly registered investment advisor/broker dealer. He joined M in November of 2022 from National Advisors Trust Company, where he served as COO. Previously, he served as VP, Head of Private Client Group at American Century Investments, as well as VP, Market Leader with Fidelity Investments, where he worked for 24 years leading the Investor Centers in Oregon, Nevada and New Mexico.

Michael received his MBA in Organizational Behavior/Human Resources from Westminster College. He holds FINRA Series 6, 7, 9, 10, 24, 63, and 66 licenses, and he earned his Executive Education Program certificate from the Securities Industry Institute at the University of Pennsylvania Wharton School of Business

I'd like to serve as the District 3 Representative for the West Region Committee because I am passionate in ensuring we have the necessary guidelines and rules to strengthen the industry. Working in financial services is a noble profession, one that requires trust and confidence. I have a firm belief that it takes a village and I want to be part of the organization that helps improve the experience in financial services for all.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Jacob Stewart**

Title: **Chief Compliance Officer**

Firm: **Saturna Brokerage Se**

Candidate Biography and Personal Statement

Jacob Stewart, CRCP, joined Saturna in November 2007. He moved to Bellingham from Texas, where he obtained a BA in English Literature from Schreiner University in 2005. Jacob's work focuses on 1940 Act valuation issues, Bank Secrecy Act anti-money laundering compliance, and designing/implementing forensic testing regimes. In his spare time, he enjoys exploring logging roads, watching monster movies with his kids, and riding different kinds of bicycles. Jacob was appointed to West Region Committee in 2021. An active member of the Committee, he is proud to represent District 3 on the Committee, and hopes to be afforded the opportunity to continue to do so.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/jacob-stewart-b23a94111/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Robert Wrubel**

Title: **President**

Firm: **Cascade Investment Group, Inc.**

Candidate Biography and Personal Statement

Cascade Investment Group, Inc. is an independent broker/dealer operating in Colorado Springs since 1996. I became President of the firm in 2022. As a small B/D we want to have a voice in the regulatory environment that impacts our business and I want to represent the interests of firms of our size as rules, requirements and oversight actions change to ensure the ability of independent firms to continue to thrive.

Cascade does not make markets or have an active trading floor. We are an introducing broker/dealer using the custody and trading platform of a larger B/D.

Our firm is dually-registered as an RIA and broker/dealer. We have clients who choose the brokerage platform and others that choose the advisory platform. There is a need for retail-focused, dually-registered firms in the market to provide trading, advice, services and access to financial products based on the needs of those clients. The independent channels that offer both B/D and RIA services and products appears to be shrinking and I believe this to be, in part, a result of the complexity of being independent as a broker/dealer.

My interest in joining the Regional Committee is to be represent small firms as more changes are considered and updates rolled out. We have a unique perspective given the longevity of our firm and the size of our firm. Over the past five years, we have had to add outsourced assistance for compliance and spent increased hours on reporting and adopting new rules and regulations. We understand the need to protect markets and investors - we also want to be involved in ensuring that small firms can survive and thrive.

I've served in multiple leadership roles, including President of Cascade, board chair of Cheyenne Village and CASA in Colorado Springs, as the head of the investment committee and board member of the Pikes Peak Community Foundation and served to help other nonprofit organizations. I am a community board member of the Eastern Colorado Bank, a family-held community bank in Colorado.

I hold the following securities licenses: Series 4, 7, 9, 10, 24, 53 and 66.

In addition, I am a Certified Financial Planning professional, an Accredited Investment Fiduciary, Accredited Estate Planning professional and am insurance licensed in Colorado and several other states.

I graduated Wesleyan University in Middletown, CT with a BA and MA in 1989.

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Link to YouTube video: