

District 7 – South Region Candidates

- Charis I. Jones – Senior Vice President & Co-Head of Business Risk Management, LPL Financial LLC
- James M. Swartwout – President & Chief Operating Officer, Robinhood Securities, LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Charis Jones

Title: Senior Vice President and Co-Head of Business Risk Management

Firm: LPL Financial

Candidate Biography and Personal Statement

I have been in the industry for 25 years. I entered the industry to help people like my family members who were not financially savvy and did not have access to brokers and markets. An investment was putting money under the mattress or investing in savings bonds. I wanted to learn, educate, and represent those underrepresented in the industry. My goal was to teach people to save, accumulate wealth, and pass down assets to future generations.

I started at a "chop shop" in 1995, and then briefly left the industry only to find my way back. Starting in 1997, I worked my way up through the Citigroup Private Bank by learning every aspect of the business from registrations, to becoming a control officer, to an OSJ manager supervising seven branches. In 2005, I then transitioned to Morgan Stanley Private Wealth Management, conducting surveillance and branch exams. With the change in the business, I transitioned to retail surveillance and advisory. I left Morgan Stanley in 2015 as Executive Director and Deputy Chief Compliance Officer of Morgan Stanley Wealth Management Registered Investment Advisor, when the opportunity presented itself for me to leave the tri-state area to join LPL in South Carolina, as the Deputy CCO of their RIA. This transition was the first time I learned about the independent side of the industry. It has taught me about advisors being entrepreneurs who hang their shingles and build a business that is their own. In the last two years, I transitioned to supervision and became the co-head of LPL's Business Risk Management department. This department is responsible for supervising the activities of thousands of independent representatives across the country, ranging from solo offices to large complexes.

Throughout my career, I have worked in various firm sizes with different types of advisors. I enjoy the industry, the advisors, and understand the good it can bring to our investors. I also know and understand the pitfalls due to those that take advantage of clients. Nonetheless, I always wanted to have a voice to make a difference by having a seat at the table. With my length of time in the industry, the types of firms that I have worked for and with, and my passion for continuing to improve the industry with meaningful policy changes amid fast-paced technology, service on the Regional Committee would provide me with invaluable opportunities and allow me to contribute to my region and the industry.

I look forward to your consideration of my application.

Thank you.

Charis Jones

Optional Links:


Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: James Swartwout

Title: President & COO

Firm: Robinhood Securities 

Candidate Biography and Personal Statement

James Swartwout is a 30 year veteran of the securities industry who has held leadership roles at many of the top discount brokerage firms in the nation. His career encompasses roles in customer support, back office operations, trading and order management, clearing operations as well as branch operations. Currently the President and COO of Robinhood Securities LLC based in Lake Mary, Florida, he has also held Senior Leadership positions at AmSouth Investment Services, E*TRADE Securities and E*TRADE Clearing, Scottrade and was the President of tradeMONSTER until its merger with Optionshouse.

Optional Links:

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

Link to YouTube video:
