

#### **District 4 – Midwest Region Candidates**

- Matthew Rothchild – Compliance Officer, Advanced Advisor Group, LLC
- Adym Rygmyr – Director of Compliance for Products, Trading, Operations & Banking, Edward Jones

## Candidate Profile Form—Regional Committee Election

Candidate Name: Matthew Rothchild

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Title: Compliance Officer

Firm: Advanced Advisor Group

### Candidate Biography and Personal Statement

My name is Matt Rothchild and I am a Compliance Officer with a dual-registered firm EFS Advisors/Advanced Advisor Group based in Cambridge, MN.

I am running for Regional Committee out of my profound concern over the direction our industry appears to be headed. The financial services industry is at a major crossroads, on the cusp of major transformation. Yet, in these times of earth-shattering change and uncertainty that will supposedly improve the industry, vast gulfs in perception continue to exist. Despite change intended to improve the industry, I still predict that we as an industry will continue to be pilloried by the willfully ignorant in government, media, and the public. Despite new rules that ostensibly will enhance transparency and reduce opacity in the industry, I still predict an investing public unaware of the rules, beyond the most facile of descriptions, governing representatives and firms and applied by regulators. These phenomena, in spite of even the most exacting and eloquently-written rules and regulations, have proven to be enormously destructive and will continue to shatter careers and ruin lives as long as these conditions persist.

As someone with firsthand experience with FINRA's disciplinary process and knowledge of its potential, I know the high stakes and consequences involved with every single disciplinary action and the wisdom such proceedings demand. As a rostered member of FINRA's Board of Arbitration and past Regional Committee member, I understand the importance and value of finding the truth in the midst of situations that aren't always clear cut, but are always emotionally and professionally taxing.

I seek your vote out of concern for the industry and would appreciate your support.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Adym Rygmyr

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Title: Director of Compliance for Products, Trading, Operations & Banking

Firm: Edward Jones

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### Candidate Biography and Personal Statement

Adym Rygmyr is an attorney in the Edward Jones Compliance Division. Edward Jones serves nearly 7 million investors from more offices than any other investment firm in America and supports its clients' needs through a personal, long-term approach to investing. At Edward Jones, Adym is responsible for the products, trading, operations and banking compliance programs.

Adym has worked in the financial services industry since 1996, first as outside counsel to brokerage firms and subsequently in a variety of in-house legal, compliance and risk roles. Prior to joining Edward Jones, Adym oversaw the legal and compliance teams at Scottrade Financial Services, a retail broker-dealer, investment advisor and federally chartered bank that focused on the needs of self-directed investors. Adym's earlier career included leadership positions at both USAA and TIAA, mission driven financial services firms. Through these affiliations, Adym has supported the control needs associated with a variety of business models, including self-directed and advisory products, asset management, institutional investors, third-party advisors, retirement plans, insurance and banking. He has experience in both public and private companies as well as with acquisitions within the industry. Adym graduated from the University of Puget Sound and thereafter from the University of Southern California Law School. Adym holds the Series 7, 24 and 63.

Adym is seeking the opportunity to contribute to our industry through the district committee and partner with FINRA to ensure the investing public remains well educated and protected by a practical, flexible framework that takes into account a variety of different business models. His career has offered insight into the perspectives of firms and clients of different sizes and segments and Adym believes this diverse perspective could provide helpful insight in a variety of dialogues.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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