

District 4 – Midwest Region Candidates

- Mason A. Burnham, Divisional Supervisory Manager/ SVP/ FiNet Sales Supervision, Wells Fargo Advisors Financial Network, LLC
- Kim Chapman, Chief Compliance Officer, Berthel, Fisher & Company Financial Services, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: Mason A Burnham

Title: Divisional Supervisory Manager, SVP; Supervision Manager

Firm: Wells Fargo Advisors F

Candidate Biography and Personal Statement

High level at the outset, I have a history of progressively advanced responsibility in the financial services industry with an emphasis on sales supervision, transaction approval, suitability, Best Interest, supervision controls, compliance and operational processes.

More generally, I maintain a solid understanding of variable products, fiduciary, KYC; SEC Reg BI, CRS; 2273; Policy/ best practice, risk management and systems development including social media (LinkedIn/ Twitter) and ADA online accessibility issues.

With the broad themes of my professional background covered, next beginning most recently with FiNet where I function as a Channel business leader/ Operating Committee Member. Supervising Regional Supervisors who oversee activity administered from numerous separate locations My responsibilities encompass team development and education, as well as advisor due diligence; hiring decisions as well as integration and training of new hires.

Moving backwards and relevant to my history, I was a Private Client Group Supervision Manager in the Private Client Group- - the employee model of Wells Fargo Advisors. Some of my responsibilities included monitoring associates' activities to ensure compliance with regulatory and firm policy. Implementing department, firm and risk initiatives and proactively addressing emerging risk trends by implementing adequate measures. I conducted product training sessions for variable products; structured products; options; non-traditional ETFs and advisory platforms

Finally, prior to that and I would note a time spent in both Supervision Controls as well as Retail Compliance (from ~1998-2009) with predecessor firms Wachovia Securities; First Union Capital Markets and Wheat First Union as giving me a solid understanding of the Industry Rules and Firm Policy as well as experience with the proper development of supervision control structures. During this time I completed in excess of 100 Branch Exams, as well as initiating and managing a number of firm-sponsored initiatives. I was active with creation and implementation and testing of the firm's electronic retail supervision system as well as the firm's e-mail review/ gatekeeper system.

My past industry service includes a two-2 year term on the Financial Services Institute (FSI) Compliance Council and I maintain a keen interest on continuing to be involved in the industry that does so much good for so many. It is my belief that my experience and aptitude, coupled with a genuine interest in how our industry continues to evolve, make me a most qualified candidate to represent Finra District 4. Please support my election.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/mason-a-burnham-11397911/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Kim Chapman

Title: Chief Compliance Officer

Firm: Berthel Fisher and Sec

Candidate Biography and Personal Statement

I bring four years of experience as CCO, 20 years of experience in compliance, demonstrating a depth of experience. In addition, my background includes compliance experience in business models encompassing captive audiences, franchised models and independent models. I have worked in the retail space, a fintech model, investment banking and product manufactureres in both insurance and mutual funds. I have experience in new firm registrations and closing down a clearing operation while maintaining the broker dealer. I have worked at large firms with over 5000 registered reps and small firms with fewer than 50 registered persons. I have experience at dual registrants and BD only. I have been a participating member with SIFMA, FSI and NSCP. Being a Regional Committee member would be my first role directly with FINRA, bringing energy, ideas, commitment and an openness to 'what could be.'

I have a wide network across the midwest, having spent most of my career in the Minneapolis area and now in Iowa. I intend to represent all of the firms in District 4 using my network to connect and understand broad perspectives.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
