

District 2 – West Region Candidates

- Dave Banerjee, Registered Principal, Second Street Securities, Inc.
- Audrey McMahon, Head of Operations, Ares Management Capital Markets LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Dave Banerjee

Title: Registered Principal

Firm: 42404

Candidate Biography and Personal Statement

As a prior District Committee member and FINRA registered principal, I have sought to elect changes and or endorse rulemaking that provided guidance to member firms that was efficient for small firm implementation.

Currently registered with a number of firms in various capacities employing a number of principal licenses including the series 24, 27, 7, 53, 4, 55, 79. Experienced in the operations of a myriad swatch of member firms' operations and management since 1979. Historical experience as a principal and consultant for over 400 firms.

Education includes a Bsc in Engineering, two MBA's, CPA, FINRA registrations. Emphasis on controls, compliance, technology, fintech (including blockchain).

Reasons for electing to be a representative included cost benefit and economic impact of regulations, guidance over enforcement and making small changes that improves regulatory efficiency.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Audrey McMahon

Title: Head of Operations

Firm: Ares Management Cap

Candidate Biography and Personal Statement

I am running for a seat on the West Region District Committee. During my prior tenure, I found the Committee forum to be a great opportunity to give insight to FINRA on the various issues Firms face, such as rule changes and branch exams.

I started in the securities industry in 1993 and have worked Firms of varying sizes, from very small to very large, including the launch of two Firms. I have acted in varying roles such as RR, Supervisor and branch auditor, and several roles in compliance and operations. Because of the experience gained at different firms and in different roles, I have been able to convey real-life scenarios that illustrate how certain FINRA proposals may not achieve the intended results or the unintended consequences that may occur. Having worked in Operations, and being very solutions- and detail-oriented, I feel that some issues I have raised and the corresponding suggestions have been well received by FINRA.

Membership on the committee affords an opportunity to address the burden that new fees and rules can impose on firms, the impact of new initiatives (and their timing), and the strain of complaints and arbitrations. As a committee member, I actively participated in pilot programs for the website redesign, local and regional meetings and round table discussions so that the perspective of Firms are well demonstrated. I would like to continue as a member of the committee and would appreciate your vote!

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Link to YouTube video:
