

District 3 – West Region Candidates

- Ashley Adkins, Chief Compliance Officer, Cash App Investing LLC
- Kent Lund, Interim Chief Executive Officer, Co-Head of Investment Banking, Co-Chief Compliance Officer, GVC Capital LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Ashley Adkins

Title: Chief Compliance Officer

Firm: Cash App Investing LL

Candidate Biography and Personal Statement

Hello,

I am seeking your support for election as Regional Committee member for District 3. I am a compliance professional with over 11 years of industry experience, currently serving as Chief Compliance Officer of Cash App Investing, a Fintech firm and a subsidiary of Block, Inc.

I am excited for the opportunity to participate in discussions regarding industry and regulatory trends and issues, represent the collective interests of firms in District 3 and disseminate information throughout the district.

I have spent my career focusing on fostering a culture of compliance. Throughout my career, I've had the opportunity to hold numerous roles at both large and small firms which resulted in both depth and breadth in experience. My background includes executive Fintech leadership experience, working in client-facing roles within branch offices, in back-office managerial compliance roles and conducting branch examinations and facilitating FINRA examinations. I am also one of the founding compliance team members of Cash App Investing, which provided me the opportunity to develop a risk-based compliance program to meet regulatory needs, soup to nuts. I have also owned and operated my own broker-dealer and investment advisory consulting firm. I am passionate about the democratization of finance and providing fair and equitable market access and financial literacy to all.

I obtained a Bachelor of Arts with a major in Finance from Michigan State University and currently hold the FINRA Series 7, 63, 24 and 53 licenses. I currently sit on FINRA's Complaint Initiatives Committee and welcome further opportunities to give back to our industry.

Given my broad experience, I believe I am well and uniquely positioned to represent and advocate for all firms in District 3 as a Regional Committee member. I also understand the importance of industry engagement to help regulators keep a pulse on our constant evolving industry. I would be honored to have your support.

You can learn more about me and my background by visiting <https://www.linkedin.com/in/ashley-adkins/>. Feel free to reach out with any questions you may have or just to chat.

Thank you,

Ashley Adkins, CRCP®, CAMS

Optional Links:

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

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Kent Lund

Title: Interim CEO, Co-Head of Investment Banking, Co-CCO

Firm: GVC Capital LLC

Candidate Biography and Personal Statement

Warm greetings to all of you.

I am a current member of FINRA's West Region Committee, representing District Three. My term ends at the end of 2022 and I respectfully request your vote to serve a second three-year term starting on January 1, 2023.

My experience as a committee member is that the West Region Committee is an effective forum through which to raise and discuss issues and concerns of those of us working in the broker dealer business. Even more important, I have found it to be an effective forum through which to propose and advocate for specific improvements, changes, and problem solving that help us all.

My overarching objective as a committee member is to help advance the success and well-being of all our broker dealer firms (regardless of size and/or business model) and their associated persons. This includes addressing the day-to-day and big picture realities of working in our extremely complicated and heavily regulated business.

Short Personal Background Description: Since late 1998, I have worked full time for different types of broker dealer firms (securities clearing and custody; full-service retail and institutional; municipal securities; independent contractor retail; and investment banking (mergers and acquisitions and capital raising)) in a variety of roles (business (including production); compliance; legal; management; and supervisory). Over the years I obtained nine securities licenses: Series 7, 24, 9, 10, 14, 53, 63, 66 and 79. I hold B.A., J.D., M.B.A, and LL.M. (in Entrepreneurial Law) degrees. My current firm, GVC Capital LLC headquartered in the Denver suburb of Greenwood Village, Colorado, has eleven RRs and conducts a retail securities brokerage and investment banking business (principally capital raising and M & A). From 2017 to 2020 I served as a member of the Colorado Securities Board, a position appointed by the Colorado Governor and confirmed by the Colorado Senate. I believe that this background and experience help and position me to be an effective advocate for our individual and collective interests.

If elected, I would be pleased to communicate and work with you directly. And if elected, I pledge my utmost, proactive efforts to address in the West Region Committee our individual and collective concerns, and to help deliver effective, practical, and specific actions to solve our problems big and small.

Thank you, and I respectfully ask for your vote.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/kentlund

Link to YouTube video:
