

District 4 – Midwest Region Candidates

- James Clements, Regulatory Principal, Carson Group Brokerage, LLC
- Basil Joseph, Chief Compliance Officer/Chief Financial Officer, Van Clemens & Co., Inc.
- Daniel Wright, Chief Compliance Officer, Cambridge Investment Research, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: James Clements

Title: Regulatory Principal

Firm: Carson Group Brokera

Candidate Biography and Personal Statement

James Clements
Title: Chief Compliance Officer
Email: jclements@carsongroup.com
Phone: 531-213-2501

James Clements took the title as Chief Compliance Officer for Carson Group in July 2020. In this role, he oversees all compliance and risk management for the firm.

As the Chief Compliance Officer, I work with our legal, marketing, sales teams, and an outside broker-dealer to manage FINRA and SEC compliance. I collaborate on the development, implementation, and oversight of the regulatory framework, compliance policies, and procedures to ensure compliance with FINRA and SEC guidelines, rules, and regulations, take a leading role in responding to regulatory inquiries, investigations, audits, and reviews and act as a conduit between our outside broker-dealer and Carson Group.

James has many years of experience in the securities industry and has obtained numerous licenses, certificates and other designations such as: FINRA Licenses 7, 9, 10, 24, 63 and 65, the Investment Adviser Certified Compliance Professional (IACCP), Behavioral Financial Advisor (BFA), and the Accredited Investment Fiduciary (AIF) designations.

Prior to this chapter, James worked as the VP, CCO and Risk Management for Ameritas Investment Company, LLC (AIC) the broker dealer, Registered Investment Adviser, and Municipal Advisor subsidiary of Ameritas Life Insurance Corp.

Optional Links:

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

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Basil Joseph

Title: CCO/CFO

Firm: Van Clemens & Co., IN

Candidate Biography and Personal Statement

I am the Chief Compliance Officer and Chief Financial Officer of Van Clemens & Company, Inc. in Minneapolis, MN & have served in this capacity since 2007. With over 36 years of securities industry experience at small sized firms, I have acquired a broad-based understanding and knowledge of brokerage management & operations. I earned a Bachelor of Arts in Communication from the University of Minnesota and hold FINRA Series 4, 7, 24, 27, 63 & 65 registrations. I served for several years on the now dissolved FINRA Technology Advisory Committee.

My years of experience have given me a balanced view. It is time for me to give back. I know it has been tough and seems to be getting more difficult to with every new regulation. The goal is to create an environment that allows industry professionals the ability to perform their duties to highest standards, while navigating these ever-changing regulatory waters. From the beginning of my career, I have witnessed a steady increase of regulation and the struggle of firms and individuals trying to adjust. Experience matters. It is my hope to use all that I know, to be a voice of small firms and individual investors.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Daniel Wright

Title: Chief Compliance Officer

Firm: Cambridge Investment

Candidate Biography and Personal Statement

I have more than 30 years of experience in the financial services industry, with a diverse background in compliance and operations. I have served as Chief Compliance Officer for independent broker dealers, limited purpose broker dealers, invest advisory firms and a boutique clearing firm. I also have extensive experience in the areas of AML and FINOP. I am a Certified Regulatory and Compliance Professional® (CRCP) and hold FINRA Series 4, 7, 8, 24, 27, 53, 57, 63, 65, and 99 licenses.

I strongly believe my multi-faceted industry experience would be an asset to the Midwest Regional Committee, allowing me to share my technical expertise and understanding of regulatory application. It would also provide me with an opportunity to gain deeper insight into the perspectives of FINRA and my peers, and collaborate with them on the current and future issues facing our industry, with a special emphasis on the advocacy for the independent BD space.

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Link to YouTube video:
