

District 7 – South Region Candidates

- Shawn Barko, Chief Compliance Officer, Raymond James & Associates, Inc.
- Harold G. Chaffee, Chief Compliance Officer, Triad Advisors LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Shawn Barko

Title: Chief Compliance Officer

Firm: Raymond James & Associates

Candidate Biography and Personal Statement

Biography

Shawn Barko is Senior Vice President and Chief Compliance Officer for Raymond James & Associates, Inc. (RJA), a full-service broker/dealer and clearing firm. He has 27 years of compliance experience in the financial services industry, with an emphasis in wealth management.

Mr. Barko received a bachelor's degree in Economics from West Virginia University, and currently holds Series 4, 7, 9, 10, 14, 24, 31, 63 and 65 licenses, a Certified Regulatory and Compliance Professional (CRCP) designation from the FINRA Institute at Wharton, and the Accredited Investment Fiduciary (AIF) designation from FI360. He also earned a certificate from the Securities Industry Institute (SII) from SIFMA/Wharton and has previously consulted with FINRA (NASD at the time) on education and training working groups. He is a FINRA arbitrator.

Outside of work, Mr. Barko gives back to the community by serving on the United Way Suncoast Finance Committee and by supporting the Meals on Wheels program in Pinellas County, FL, for which he has delivered meals to homebound seniors for 26 years.

Personal Statement

I am running for this seat because I am passionate about the financial well-being of clients, the regulatory protections afforded to investors, and the financial services industry overall. I believe in working closely with business leaders and regulators on common sense solutions to everyday challenges, and want to support firms and investors by listening and providing experienced, constructive feedback in partnership with industry peers and FINRA.

Having worked with RJA as it grew from approximately 500 financial advisors to more than 3,600, I feel that I understand the unique challenges facing both medium and large firms. In addition, while I have many years of experience in an employee model, I also have over 20 years of experience working side-by-side with Raymond James Financial Services (RJFS), an affiliate broker/dealer that operates in an independent contractor model. As a member of the committee, my experience with multiple firm sizes and structures would enable me to represent the diverse needs and concerns of firms in District 7 and across the industry.

I respectfully ask for your vote to a seat on the Southern Region Committee representing you, the members of District 7. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Harold G. Chaffee, CFA

Title: Chief Compliance Officer

Firm: Triad Advisors LLC

Candidate Biography and Personal Statement

Biography

Harold Chaffee is Chief Compliance Officer for both Securities America and Triad Advisors. In his role as Chief Compliance Officer, Harold provides compliance oversight to the firms and all their affiliated financial professionals, and promotes and enhances the firms' culture which encourages ethical conduct and commitment to compliance.

Harold has nearly 30 years of experience as a compliance professional, including more than a decade as a CCO, as an Examiner with FINRA, as a Capital Market Specialist with the Federal Reserve Bank of Atlanta, and more than a decade as a consultant for broker-dealers, investment advisors, and funds. He earned his Bachelor's Degree in Business Administration – Finance. Harold currently holds FINRA Series 7 and 24 licenses, and designations including Chartered Financial Analyst (CFA), Certificate in Investment Performance Measurement (CIPM), and Certified Securities Compliance Professional (CSCP).

Mr. Chaffee has volunteered in the industry by previously serving on the FINRA South Region Committee, serving as the Deputy Chair of the Disciplinary Review Committee for the CFA Institute, serving on the Compliance Council of the Financial Services Institute, and by speaking at various industry conferences including the National Society of Compliance Professionals, the Financial Markets Association, and the Georgia Bankers Association.

Personal Statement

I believe that my broad experience in the industry as a compliance officer, regulator, and consultant provides me with a unique perspective and ability to help represent our member firms. It would be an honor to continue to serve our industry as a District 7 Representative on the FINRA South Region Committee.

Optional Links:

Link to personal website, resume or CV: [linkedin.com/in/harrychaffee/](https://www.linkedin.com/in/harrychaffee/)

Link to YouTube video:
