

District 8 – Midwest Region Candidates

- Travis L. Bator, Chief Compliance Officer, Harbour Investments, Inc.
- Stephen W. Mack, President/Owner, Mack Investment Securities, Inc.
- Eric Wolfman, Deputy Chief Compliance Officer, Senior Vice President and Compliance Director, Keybank Capital Markets, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: Travis L. Bator

Title: Chief Compliance Officer

Firm: Harbour Investments

Candidate Biography and Personal Statement

I am the Chief Compliance Officer at Harbour. I have served in this capacity for two years. In addition to serving as Chief Compliance Officer for Harbour, I am an active attorney in WI and manage Harbour's outside counsel. I also have a Bachelor of Science in Accounting from the Minnesota School of Business, and hold FINRA Series 4, 7, 24, 53, 63, and 66 registrations, as well as CFE and CRCP designations.

My path in this industry began when I joined the U.S. Marine Reserves, and was hired to work at Ameriprise Financial. I first started in their trading queue's focusing on mutual funds. While working at Ameriprise I was able to expand my understanding of the industry and transitioned from trading queues into Field Office Inspections. While working in Field Office Inspections I saw first-hand how policy changes, no matter how small, can have large impacts on firms and practices. From Field Office Inspections I transitioned into the Centralized Supervision Unit for complex products at Ameriprise to facilitate attending law school while also working full-time. My experience in compliance, seeing both the oversight and the supervision aspects, combined with working on various committees focused on product development and on-boarding experienced advisor recruits, has given me a unique perspective. With my perspective I have tirelessly sought ways to build policies that protect investors while balancing the needs of our regulators with the practicality of the Reps and Firms who must comply with them.

Coming to Harbour from a larger firm has allowed me to apply my experiences in more effective and precise ways than I could not have done within the hierarchy of a larger organization. Experiencing both a large firm and a mid-size firm has helped me anticipate needs faster, and has also helped me build out the skill-set necessary for driving meaningful change where needed.

It is my hope that in joining FINRA's Midwest Regional Committee representing District 8, that I can be a voice of all FINRA members in my district, focusing on challenges facing not only big firms but small ones as well, encouraging collaboration where parties are willing to participate.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/travis-bator-j-d-cfe%E2%84%A2-crcp%C2%/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Stephen Mack

Title: President, Owner

Firm: Mack Investment Secu

Candidate Biography and Personal Statement

Biography attached.

Since 2015, I have represented small firms on our Regional Committee, then our Small Firm Advisory Committee.

Small firms have the most to lose with the direction of regulation. While I fully support a clean system, I also firmly believe the industry needs to expand its small firm base, not continue to watch firms consolidate and be driven out by ever more arbitrary rules.

Representing small firms on our Regional Committee is a way of giving significant feedback directly to FINRA. My goal is to represent all in our region and to be available to any who have questions and concerns needing input from a representative.

As an owner with responsibilities including compliance, keeping the books and meeting with clients on a daily basis, I get it. We need voices to speak up for our firms. Please consider me as one of those voices. And one who is not afraid to get into, and to advocate for issues that can affect all of our futures.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Eric Wolfman

Title: Deputy CCO, Senior Vice President and Compliance Director

Firm: CRD 566

Candidate Biography and Personal Statement

I have worked in the securities industry for almost 25 years. I have been employed at KeyBanc Capital Markets since 2011 having been recruited from New York City to bring my knowledge and experience in prior compliance programs. I am now also responsible for the overall compliance program having been promoted to Deputy CCO this past year. Prior to joining Key, my industry experience includes several senior compliance positions at Jefferies, JP Morgan, Credit Suisse and Citi Group. I was also the Chief Conflicts Officer at Citi Group Corporate and Investment Bank operating within the Mergers and Acquisitions Group advising and tracking conflicts within the complete organization.

Personal Statement

I have always been interested in participating regulatory oversight. Given my position within KBCM and my significant understanding of how firms operate and do business, I am confident I can add tremendous value to the committee. I know what drives registered reps, and what obstacles they face. I can come with real-time examples and situations to consider. The committee process is one of the best ways for firms to help improve the quality and effectiveness of regulation. When member firms provide regulators with honest feedback, balanced criticism, and insightful suggestions they can have a significant impact on regulatory practices. I want to be part of that dialogue and believe I can make a positive impact for the foreseeable future.

Having spent nearly 25 years as a compliance officer and as an industry member, I think I can provide a helpful perspective to the District 8 Committee. I've experienced the challenges of running compliance programs with all the complexities of a large broker-dealer, but on a scale and with a middle market focus that is more consistent with other small and midsized firms. Additionally, given my experience running compliance programs for several Investment Banking Departments, Equity Research Departments as well as having significant experience with compliance control rooms and core compliance functions, I believe I can be an excellent resource for the committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
