

### **District 9 – North Region Candidates**

- Jason Albino, Chief Compliance Officer, Grove Point Investments, LLC
- Samantha Larew, Chief Compliance Officer, Manning & Napier Investor Services, Inc.
- Theresa J. Manderski, Chief Compliance Officer, Davenport & Company LLC
- Adam Scaramella, President, Prudential Investment Management Services LLC

## Candidate Profile Form—Regional Committee Election

Candidate Name: Jason Albino

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Title: Chief Compliance Officer

Firm: Grove Point Financial

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### Candidate Biography and Personal Statement

As Chief Compliance Officer of Grove Point, I am responsible for all aspects of compliance and risk for the Firm. I have over 20 years of broad-based compliance experience that includes a background in building surveillance, branch exam, and control programs, with a focus on leveraging technology and meeting data challenges, particularly in the independent broker-dealer space. I graduated summa cum laude from the University of Maryland with a bachelor's degree in finance and hold my FINRA Series 4, 7, 9, 10, 24, 53, and 63 registrations as well as a CAMS certification and an expired Series 65 registration.

Throughout my career I have made a point of engaging with peer and regulatory groups, not only to keep apprised of regulatory developments to better meet my firms' needs, but because I feel that it is important to contribute experiences, viewpoints, and ideas to the regulatory compliance landscape as a whole. I have engaged directly with FINRA through invite-only topical working groups related to the CARDS initiative and Insurance Regulation discussions. I am also currently serving as a member of the FINRA Complaints Committee. I remain active in several trade groups including the Membership Committee of the National Society of Compliance Professionals (NSCP) and am currently serving a second term on the Financial Services Institute (FSI) Compliance Council, after having previously served as Vice-chair.

I'm pursuing a role on the Regional Committee with an eye towards advocating for effective regulation and enforcement with mutual respect for regulators, compliance professionals, financial professionals and our collective mandate of client protection. I appreciate your consideration and hope for the opportunity to add my collaborative mindset and thoughtful representation of the compliance community to the District 9 dialogue.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Samantha Larew

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Title: Chief Compliance Officer

Firm: Manning & Napier Inve

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### Candidate Biography and Personal Statement

Samantha has over 17 years of experience in the financial services industry. She currently serves as Chief Compliance Officer and AML Compliance Officer for Manning & Napier Investor Services, Inc., a mutual fund distributor and retailer, located in Fairport, New York. Samantha also serves as CCO and AML Compliance Officer for the mutual fund complex, the Manning & Napier Fund, Inc.

As CCO of a broker-dealer and registered investment company, Samantha oversees all aspects of regulatory compliance, including the development and maintenance of Compliance Programs, AML policies and procedures, and sales practice supervision, among other matters. As co-Director of Compliance, she supervises a team responsible for conducting day-to-day compliance and supervision functions. However, she believes one of the most important aspects of her role is building a strong culture of compliance and fostering positive and lasting working relationships with the business.

Samantha holds the FINRA Certified Regulatory and Compliance Professional (CRCP®) designation and attended the FINRA Institute at Wharton CRCP program on a small firm scholarship. She earned her BS in Political Science from the State University of New York College at Brockport and holds the Series 6, 7, 24, 26, 63, and 66 licenses.

Samantha was appointed to FINRA North Region Committee in 2021. She hopes to continue her involvement, which she has found extremely rewarding, from both an advocacy and relationship building perspective. She is committed to the industry and feels it is important to continue to share the views of and advocate for small and more limited-purpose firms.

### Optional Links:

Link to personal website, resume or CV: [www.linkedin.com/in/samantha-larew](http://www.linkedin.com/in/samantha-larew)

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Theresa J Manderski

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Title: Chief Compliance Officer

Firm: Davenport & Company

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### Candidate Biography and Personal Statement

I am an accomplished compliance professional with a successful track record of developing, implementing and overseeing broker-dealer compliance programs for large and mid-size firms. I feel my experience leading and training compliance teams, maintaining strong regulatory requirements, drafting written supervisory procedures, and being an advocate for positive compliance makes me an ideal candidate to serve as a North Region Committee Representative.

I have worked in financial services compliance for over 15 years and have served in the role of AML Compliance Officer, Privacy Officer, and most recently Chief Compliance Officer. In my role as the Chief Compliance Officer I serve as the Chairman of the Risk Committee and the Conflict Committee. Each of these roles allow me to collaborate and build consensus in the management of firm risk.

I am a strong advocate for diversity, equity and inclusion and participate on the NSCP Diversity Board. Additionally, I am a member of several SIFMA regulatory groups and committees including, DOL PTE 2020-02 working group, Regulation Best Interest working group, and the Senior Investor Protection Forum.

Experience:

Davenport & Company LLC

SVP, Chief Compliance Officer	October 2021 - Present
AML Compliance Officer	September 2014 - March 2022
Compliance Manager - Risk and Control	September 2014 - October 2021

BB&T Securities - Scott & Stringfellow

Vice President, Compliance Manager	June 2008 - September 2014
BSA/AML Compliance Officer	June 2008 - September 2014

Davenport & Company LLC	
Vice President, AML Compliance Officer	September 2005 - June 2008

Wells Fargo/Wachovia

Business Analyst	November 2004 - September 2005
Supervisory Principal	January 2003 - November 2004

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Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Adam Scaramella

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Title: President

Firm: Prudential Investment I

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### Candidate Biography and Personal Statement

Serving as a President and former Chief Legal Officer of firms operating in both the retail and institutional markets, I am seeking to continue offering my broad and balanced business and regulatory perspective to our committee. Along with fellow industry members and our regulators, I will work to assure a healthy and vibrant marketplace where the best interest of our clients and customers are well care for, and to promote a strong dialogue between regulated firms and FINRA.

Bio:

Adam Scaramella serves as President of Prudential Investment Management Services LLC (PIMS). This business of Prudential Financial, Inc. is a SEC registered broker-dealer serving as underwriter, wholesaler, placement agent, and self-clearing firm for investment products manufactured and sold by multiple Prudential businesses, including those of PGIM (Pru's global asset manager), Retirement, and Group Insurance. PIMS operates principally in the institutional market distributing mutual funds, ETFs, variable products, commercial paper, private funds, limited partnerships, closed-end funds, and UCITS.

Scaramella has practiced securities and insurance regulatory law for three decades, having represented broker-dealers, mutual funds, investment advisors, insurers, and insurance commissioners. Prior to his present role, he served as Chief Legal Officer for Prudential Advisors, Pruco Securities, and Prudential Annuities Distributors. Before joining Prudential, Scaramella held positions as Assistant General Counsel at Mellon/Dreyfus Corp, Counsel at Provident Mutual Life, and New Jersey Deputy Attorney General. Scaramella received his BA from the University of Virginia and his JD from Rutgers University. He is a member of the NJ, PA & DC bars, and holds Series 6, 7, 24 and 26 FINRA registrations.

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Link to personal website, resume or CV:

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Link to YouTube video:

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