

Candidate Profile Form—Regional Committee Election *(this page will be displayed on finra.org)*

Candidate Name: **Kim Chapman**

Title: Chief Compliance Officer

Firm: Berthel Fisher & Co Financial Services

Candidate Biography and Personal Statement *(500 word limit)*

Kim has over twenty years of compliance experience as well as over thirty years of industry experience. She is seeking a second term on the Midwest Regional Committee. Kim has been CCO at Berthel since November of 2020. Prior roles have included focused areas of compliance and investigations, supervision, branch and OSJ exam programs, advertising review and regulatory exams. The business models Kim has experience in includes captive and independent models, public finance as well as a business to business fintech firm. She is active with the NSCP, including participation as a panelist. She has also participated on vendor panels. Kim seeks to be a voice for the industry, and welcomes contact from her industry peers.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: