

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

Candidate Name: **Margaret A. Dubil, CRCP®**

Title: Director of Surveillance

Firm: Stifel, Nicolaus, & Company, Incorporated

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

Candidate Biography:

Margaret A. Dubil, CRCP®

Ms. Dubil is a Director of Surveillance for Stifel, Nicolaus, & Company, Incorporated and Stifel Independent Advisors. Her primary disciplines include development and oversight of controls to identify sales practice risk, managing product specific risks, and firm wide disciplinary matters.

Ms. Dubil has over 27 years of industry experience in a variety of roles involving supervision, production, compliance and management. Her primary area of interest is concentrated within the sales practice compliance and securities regulation arenas. In addition to the core competencies described above, she also has significant experience providing compliance advice relating to the following products: cannabis related investments, digital assets, alternative investments, and complex products.

Ms. Dubil has obtained the following licenses: Series 3, 4, 7, 9/10, 24, 53, and 66 state insurance licenses. She obtained a BS in Legal Studies from University of Maryland and is a graduate of the FINRA Institute at Georgetown Certified Regulatory and Compliance Professional (CRCP) program.

To further exemplify her dedication to the industry, she also serves as a non-public arbitrator with FINRA Dispute Resolution. Her decision to participate as a FINRA arbitrator and other industry committees was driven by her desire to give back to an industry that has given her the opportunity to thrive and develop significant relationships. These roles have also provided her with the opportunity to serve as an advocate within the industry and enabled her to exponentially expand upon her existing subject matter expertise.

In an effort to further contribute on a broader scale to our industry, Ms. Dubil is running for election to a Regional Committee in the 4th district. She intends to advocate further for mutually respectful, achievable regulation that protects the integrity of our industry, our investors and fosters a collaborative relationship between regulators and firms.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/margaret-dubil-crcp%C2%AE-82a388>

Link to YouTube video: