

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

Candidate Name: **Scott Weindel**

Title: **Principal**

Firm: **Edward Jones**

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

I am a Principal in the Compliance Division at Edward Jones. I have worked in the financial services industry for 22 years. Five of those years I served as a financial advisor with Edward Jones working directly with retail clients to help them reach their financial goals. In 2010, I transitioned to the Edward Jones home office and served as a leader in our Field Supervision department. In this role I led teams of branch managers, designed automated supervisory systems, developed controls and policies, and coordinated with regulators during firm exams and regulatory inquiries. In 2022, I assumed my current role as the principal responsible for our US Segment Compliance group. As a Compliance leader I have extensive experience analyzing rules, creating solutions, and working directly with regulators. Having worked both in a branch office and as a compliance leader in headquarters has given me unique perspective. I understand the issues facing the securities industry and am able to contribute to business solutions that make sense from a client and regulatory perspective.

I am a strong collaborator who appreciates the opportunity to share and receive knowledge in an effort to achieve better outcomes. I enjoy attending industry events to network and learn. I'm a member of the National Society of Compliance Professionals and have regularly represented Edward Jones on various SIFMA and financial services industry roundtables. I'm running for a seat on the Regional Committee because I am passionate about putting our client's interest first and maintaining integrity in our industry. The regulation of our markets is important. I believe I bring a perspective that can balance the need to appropriately regulate, with the reality of what does and does not work from a rule making standpoint.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/scott-weindel-5b6b834/>

Link to YouTube video: