

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

Candidate Name: **Randy Pistor**

Title: Chief Legal Officer

Firm: Sigma Financial Corporation

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

I would be honored to represent the Midwest Region and would work diligently to respond to the needs and interests of member firms. I believe that I have the experience, ability, and commitment to professional integrity that are necessary for the role, including a deep understanding of industry and regulatory trends as well as other issues facing the securities industry. In addition to strong legal research and communication skills, I have a keen attention to detail along with the ability to take complex challenges and make them tractable.

I believe my skills could be put to excellent use on the Committee by, among other things, offering informed and constructive input to FINRA staff regarding proposed policies and rule changes. Above all, I would find it rewarding to put my passion, legal and compliance training, and subject matter expertise to use by partnering with industry peers to accomplish the Committee's important mission.

Professionally, I am a securities attorney with more than a decade of legal experience and 15 years of compliance experience. I hold multiple degrees from the University of Michigan where I studied law, finance, and mathematics. I have also earned the Chartered Financial Analyst designation and hold six FINRA licenses, including four principal licenses. I am licensed to practice law in Michigan. I currently serve on the Compliance Council of the Financial Services Institute.

In addition to working at a large Midwest law firm, I have spent the better part of my career as the in-house attorney and a senior-level compliance officer for affiliated independent broker-dealers located in Ann Arbor, Michigan. I enjoy working in the broker-dealer space due to its unique framework that continues to evolve and yield new opportunities. I find it especially fulfilling to help my colleagues and my organization creatively and ethically navigate an ever-expanding regulatory environment while simultaneously offering strategic advice to drive growth and innovation.

I hope you will grant me the privilege of serving on the Committee by casting your vote in my favor. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/randypistor/>

Link to YouTube video: