

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

Candidate Name: **Thomas Sarko**

Title: Chief Compliance Officer

Firm: Core Financial, LLC

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

My name is Tom Sarko, and I respectfully request your vote to represent District 8 on the Midwest Regional Committee. I currently serve as the chief compliance officer at Core Financial, a placement agent of private offerings sponsored by its parent company. Concurrently, I serve as chief compliance officer of an affiliate investment adviser firm, an adviser to private fund offerings. My experience in the securities industry spans more than 25 years during which time I have served in a variety of compliance and legal roles. These include serving as a compliance manager for J.P. Morgan Asset Management's two broker-dealers, and as an enforcement attorney for the Ohio Division of Securities. (Listed below is my biographical information)

The Regional Committee is of special interest to me. As a compliance professional, the opportunity to play an active role in the regulatory formation process is super exciting, especially to do so with other FINRA members having a similar interest from my region of the country. In addition, I have had the opportunity to serve on various committees, staffs, and working groups over the course of my career, and really enjoy the critical thinking, social interaction, and collaboration involved. Lastly, since retiring from the U.S. Marine Corps Reserve two years ago, I gained the time that I devoted to the Marine Corps, and would like to fill it, in part, by serving the securities industry. I appreciate your consideration of my interest in representing District 8.

#### Work Experience:

Chief Compliance Officer, Core Financial, LLC (2020-2024)

Compliance Manager, J.P. Morgan Asset Management (2006-2020)

Enforcement Attorney, Ohio Division of Securities (2003-2006)

#### Military:

U.S. Marine Corps Reserve, Colonel (retired) (1992-2022)

#### Education/Licenses:

J.D., Cleveland Marshall College of Law

B.A., University of Dayton

Series 7, 14, and 24

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: