

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

Candidate Name: **Peter A. Garcia**

Title: **Head of Business Development & Controls, NA**

Firm: **Rabo Securities USA, Inc.**

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

I am the Head of Business Development & Controls, North America for Cooperatieve Rabobank U.A. ( “Rabobank” ), located at the New York office location. Rabo Securities USA, Inc. ( “RSI” ) is a subsidiary of Rabobank. As part of my responsibilities, I oversee the operations and regulatory framework for RSI. This includes, but is not limited to, ensuring consistent and adequate execution of processes (e.g., equity buy back program, internal/external wire transfers, trade booking, trade allocation), performing risk assessments, implementing and performing controls (aiming to mitigate and/or manage risks associated to the business activities), advising and supervising Know Your Customer / Customer Due Diligence reviews, managing the operational and Front Office policies and procedures, serving as the point of contact for the business with internal and external audit reviews, and leading local and global efforts from offering new/enhanced product offerings to remediating findings.

Since RSI also maintains a clearing membership with the Chicago Mercantile Exchange ( “CME” ), my role includes managing that membership and complying with CME’ s rules, performing similar activities noted above as part of RSI’ s overall regulatory framework. In addition to my role with RSI, I also oversee the regulatory framework for Rabobank’ s global swap dealer activities, as well as its de minimis security-based swap dealer activities. Similar to the responsibilities for RSI, my responsibilities include the on- and offboarding of Associated Persons permitted to arrange, negotiate, and/or execute swaps with relationships in scope of Commodity Futures Trading Commission ( “CFTC” ) and National Futures Association ( “NFA” ) requirements, the risk and control framework, trade support, regulatory onboarding for derivative counterparties, and regulatory change management, among other things.

I am thankful for my prior experiences with FINRA, regulatory consulting, and Compliance / Operation roles to be a meaningful contributor in my current role. Due to the wide range of responsibilities, my team and I deal with all facets of the organization and regulatory obligations. My prior experiences have allowed me to be effective and adaptable in managing RSI and other regulatory programs.

With that in mind, I appreciate the opportunity to submit my candidacy to join the Regional Committee. I hope to join and be a valued contributor to FINRA and the New York district constituents, leveraging the experiences from my prior and current role.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: