

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

Candidate Name: **Brenda Hinton**

Title: **CCO**

Firm: **Nasdaq Capital Markets Advisory LLC**

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

Hello,

I am an experienced and respected securities industry professional with over 25 years of experience managing global compliance risk, anti-money laundering, swaps dealer, and derivatives compliance programs. Currently, I head the strategic development, implementation, and oversight of all Nasdaq broker dealer compliance, AML, and Operations and Compliance Network surveillance programs. I am a member of Nasdaq's Diversity, Equity and Culture (DEC) Council whose priorities are aimed at supporting diversity, equity and culture in an environment that values, appreciates and welcomes all employees regardless of their background. My previous work experience includes senior compliance management positions at a myriad of financial and regulatory institutions including Bank of New York Mellon, BNP Paribas, and Merrill Lynch.

I am eager to contribute my skills, experience, and passion to the New York Region committee's important work, and believe that my background aligns well with the committee's purpose. I have served on the Options Industry Council exploring various issues affecting options regulation. I have served as an arbitrator on a number of FINRA arbitration panels. I've also actively contributed to New York Bar Association and member firm communications concerning pending regulation. As a committed compliance professional I am driven to participate in initiatives that help advance regulation and examine regulatory concerns.

My broker dealer compliance experience has equipped me with a solid foundation in securities regulation, global derivatives, equity, insurance, institutional and retail compliance risks, communications, and governance. Additionally, my previous involvement in various industry forums, such as ISDA, the Options industry Council, and CCO roundtables has provided me with valuable insights into effective committee operations and decision-making processes. I firmly believe that my background would allow me to actively contribute to the regional committee's goals and collaborate effectively with other committee members.

Thank you for your time and consideration.

Brenda

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: