

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

Candidate Name: **Nikki Brinkerhoff**

Title: Compliance

Firm: Carty & Company, Inc.

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

Nikki has over 20 years experience in financial services firms including introducing, dual registrants, chaperoning, capital investing Broker Dealers and Registered Investment Advisors. She has lead audit, risk and compliance programs and teams through the changing industry landscape. She is an accomplished risk leader focused on optimizing compliance management and addressing issues facing the securities industry. Her deep experience across operations and service delivery through her experiences with many different types of member firms bring valuable industry knowledge. She is an active member of industry associations and participates in the planning, organization and speaking at industry events. She believes in the integrity of the industry and is devoted to bring resources to member firms to strengthen their ability to operate.

Personal Statement:

I've served on the FINRA South Region Committee and am running for reelection. My tenure on this committee has been extremely valuable and has offered the opportunity to get to know many of the firms I serve. In this position I have advocated for more communication with members and the ability for the Committee Members to be resources for the members who elect them. I value the importance of our industry's input and welcome the opportunity to collaborate. Through the Committee Members have the ability to voice concerns, receive guidance and leverage resources, especially for the small firms. The Committee offers firms access to valuable industry resources that promote the improvement of service delivery, controls and compliance programs across the industry.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/nbrinkerhoff

Link to YouTube video: