

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

Candidate Name: **Cece Baute Mavico**

Title: Chief Operating Officer, Governance Controls Officer

Firm: Truist Investment Services

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

Cece Mavico has worked in the financial services industry for over twenty-five years in compliance, supervisory, legal, risk and regulatory roles. She currently serves as the Chief Operating Officer and Governance Controls Officer for Truist Wealth, which includes first line risk management, governance and supervision of brokerage, investment advisory and bank trust platforms.

Prior to joining Truist, Ms. Mavico served as a Chief Compliance Officer for a large introducing firm and as Head of Regulatory Strategy & Special Investigations for LPL Financial. At LPL Financial, she and her team were responsible for representing the firm in complex regulatory matters, advising on AML and regulatory strategy, and leading internal investigations. Prior to joining LPL Financial, Ms. Mavico advised financial institutions in private practice where she focused on securities regulatory and enforcement matters, and also served in various roles with the NASD in Washington, DC.

Ms. Mavico has focused her career on enabling compliant business and driving a strong culture of compliance as well as proactive risk management. Ms. Mavico received a Bachelor of Science in Finance from Trinity University and a Juris Doctor from American University, Washington College of Law.

### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_