

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

Candidate Name: **Ken Muraoka**

Title: **Sr Managing Director and Head of Compliance Shared Services** Firm: **Cetera Advisor Networks**

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

Thank you for taking the time to read my personal statement. I am pleased to have the opportunity to run again for the District Committee, having completed a three year stint with the West region committee in 2024. I have been in the securities industry since 1998, and have served in various management capacities in both Operations and Compliance/Risk in multiple firm types, including independent, insurance and at an RIA-platform provider.

I am a graduate of Vanderbilt University (BA, 1993) and also hold my Series 7, 24, 27, and 99 registrations. I completed the FINRA Certified Regulatory and Compliance Professional (CRCP) at the FINRA Institute at Wharton and have kept my continuing education requirements current for both my registrations and the CRCP designation.

I have had a long and varied career, starting in the business as a tax and government reporting analyst at JC Bradford & Co, and moved to LPL Financial in conjunction with their self-clearing initiative in 2000. There, I was responsible for many functions within Operations, including Tax and Government Reporting, Variable Annuity Ops, Alternative Investment Ops, Cost Basis and more. After taking a leadership role at Mass Mutual's broker-dealer, I moved to compliance with AIG Advisor Group (now Osaic). There, I ran multiple shared services departments including Branch Exams, Surveillance and AML and eventually became the Network Chief Compliance Officer for AIG Advisor Group. I moved to Charles Schwab Advisory Services in 2013, responsible for development and implementation of their Risk and Controls departments, and have been Head of Shared Services Compliance at Cetera since 2015. At Cetera, I am responsible for Surveillance, Advertising Review, Enterprise Risk Management, AML and Complaints/Regulatory Inquiries. I believe my broad experience and knowledge in many types of firms and multiple departments has prepared me to represent the district, and interests of the firms within my district, well.

I have dedicated my entire career to the securities industry, and wish to give back to the industry by serving on the committee. I believe I can represent the interests of member firms and advocate for responsible rule making and enforcement in an industry that needs us to keep up with an ever changing landscape. I will work with my industry peers and other committee members to discuss proposed regulation, changes to industry processes and standards, and articulate industry concerns to the best of my ability. Finally, I will continue to serve the industry by participating on hearing panels when selected.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/ken-muraoka-crcp-5a42523/>

Link to YouTube video: