

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

Candidate Name: **Karolina Pajdak**

Title: Chief Compliance Officer

Firm: R. Seelaus & Co., LLC

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

I respectfully submit my candidacy for FINRA ' s Small Firm Advisory Committee.

I am the Chief Compliance officer and a managing equity owner of a Women Owned introducing broker dealer. R. Seelaus & Co., LLC, and its affiliated SEC registered Investment Adviser, Seelaus Asset Management, LLC. I have over twenty years of industry experience and regulatory knowledge. Since joining the firm in 2001, I have assumed numerous roles to drive its growth. Prior to taking over the role of Chief Compliance Officer in 2020, I held the position of Chief Financial Officer for many years. I helped manage marketing, human resources, operations, finance, corporate administration, and compliance. I have successfully helped the firm through the challenges of growing from twenty employees to now over seventy-five employees across both entities. Given my background and the diverse firm offering, I understand the issues and struggles of all departments, of various brokerage models, and how the regulations and industry issues impact smaller broker dealers versus larger firms.

Today, my critical responsibilities include risk management, designing, and implementing new compliance systems, supervision and testing of these compliance systems, rules, and regulation interpretation. I am still a resource for FINOP with aspects of Net Capital requirements, Customer Protection rules, Books and Records Management and all regulatory filings across the firm ' s entities.

I maintain Series 7, 24, 27, 53, 63, 65 and 99 registrations, along with NJ and SC Life and Health Insurance Licenses.

I am a Rutgers University graduate with a Bachelor of Science and a Master of Business Administration.

I am eager to serve on the FINRA Small Firm Advisory Committee. Given my experience and knowledge base I would be a great asset, as I know first-hand the struggles small firms, especially those driven by women, are up against these days, including financial as well as regulatory pressures. I am very pragmatic in my approach, and always assess the impact of something on all involved.

Our firm ' s mission is to be an agent for change in the finance industry by demonstrating a straight line between the support we receive as women owned firm and the support we provide to the industry. Becoming a Small Firm Advisory Committee member will fit nicely with the firm ' s mission, by allowing me to play a role in building a better bridge between small firms and FINRA and help foster a more collaborative relationship.

I hope you will look favorably upon my candidacy.

Optional Links:

Link to personal website, resume or CV: <https://www.rseelaus.com/team/karolina-pajdak/>

Link to YouTube video: