

District 10 – New York Region Candidates

- Erin Baskett, CFO & Chief Compliance Officer, Autonomous Research US LP
- Jason Gerb, Chief Compliance Officer, Foresters Financial Services, Inc.
- Howard Sendrovitz, Deputy Chief Compliance Officer, J.P. Morgan Securities LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Evin Baskett

Title: CFO/COO

Firm: Autonomous
Research

Candidate Biography and Personal Statement

Attached

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

My name is Erin Baskett and I am seeking your support for a seat on the Regional Committee.

A bit of recap on who I am and what experience/ qualifications I have:

I earned my Masters in Accounting from Lindenwood University and my B.S. in Business with a minor in International Finance from the University of Missouri. I began my professional career in the back office of A.G. Edwards where I assisted in the broker dealer operations. For 6 years after that I worked in a full service certified public accounting, audit and business consulting firm, during which time I obtained my certification as a CPA, and managed numerous client engagements. In 2010, I joined a self clearing and dually registered retail BD and RIA firm with approx 100 employees across 12 offices and 10,000 client accounts in nearly all 50 states where I held the titles of CFO, Director of H.R. and Internal Audit congruently. In 2012 I helped launch Autonomous Research US LP through my role as Managing Partner and CFO/CCO, a firm which provides research coverage of banks, asset managers, insurance and payment processors, as well as offering an execution service to its clients.

In total, I bring 11 years of financial industry experience and over 6 years of public accounting, audit, and consulting experience. Such financial industry experience has included oversight in the daily operations of the business, responsibility for all accounting & finance, compliance, FINOP, human resources, operations and trading oversight, regulatory reporting, client management and business development. I hold a CPA, CGMA (Chartered Global Management Accountant), Certified Human Resource Specialist (CHRS), Series 4, 7, 24, 27, 65, and Series 99. *I further have 4 years experience on the District 10 Committee.*

I am entering this race because I appreciate that owning or operating a small broker/dealer is a heavy burden and we all wear multiple hats to provide the best service to the client base supporting us. The vast majority of my financial industry experience has been in the small firm environment and I appreciate what each of us has to go through to grow our business and remain in compliance with our regulators. With my knowledge and experience of both working on the audit side of the regulations to running small firms which must constantly adapt and adhere to the regulations, I feel I am equipped at finding the middle ground in policies which won't cripple the small firms. Your time needs to be spent ensuring the absolute best service for your clients – let me work to ensure you can do that.

I thank you for your time and consideration.

Sincerely,

Erin Baskett

Candidate Profile Form—Regional Committee Election

Candidate Name: Jason Gerb

Title: Chief Compliance Officer

Firm: Foresters Financial Services

Candidate Biography and Personal Statement

Jason H. Gerb is the Chief Compliance Officer of Foresters Financial Services, Inc. a FINRA member broker-dealer, its affiliated SEC registered Investment Advisor, Foresters Advisory Services ("FAS"), and its affiliated broker-dealer, Foresters Equity Services, Inc. Mr. Gerb has over 20 years of broad-based industry experience with broker-dealers and investment advisors including roles as the CCO of Equinox Fund Management and its affiliated companies; and senior compliance roles at BNY Investment Center and Guardian/Park Avenue Securities. Mr. Gerb has overseen a variety of large scale corporate initiatives involving financial services technology solutions during his tenure as Chief Compliance Officer. Prior to joining Equinox in 2011, Mr. Gerb spent six years with FINRA as a Principal Examiner, where he led teams conducting complex examinations of member firms' operations and sales practices for compliance with FINRA, MSRB, and SEC rules and regulatory guidelines. He was also a member of FINRA's national Regulatory Expert team concentrating on complex mutual fund and variable product sales practice issues. Mr. Gerb was employed with FINRA from May, 2005 until July, 2011 and was awarded for outstanding achievements. Mr. Gerb has been a panelist at FINRA, NSCP, and industry conference and events sharing expertise on relevant compliance issues. Mr. Gerb obtained the Certified Regulatory and Compliance Professional ("CRCP") designation from FINRA Institute at the Wharton School University of Pennsylvania in November, 2012, and the Certified Anti-Money Laundering Specialist ("CAMS") designation from the Association of Certified Anti-Money Laundering Specialists ("ACAMS"). Additionally, Mr. Gerb holds a Certified Mutual Fund Specialist (CMFS) designation from the Boston Institute of Finance and is a member of the Investment Company Institute (ICI) Variable Insurance Products Advisory Committee, the Association of Certified Fraud Examiners (ACFE), and the National Society of Compliance Professionals (NSCP). He also holds the Series 7, 24, and 66 licenses. Mr. Gerb graduated from Montclair State University with a BA in Political Science and a minor in Pre-Law.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/gerb09/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Howard Sendrovitz

Title: Deputy Chief Compliance Officer

Firm: J.P. Morgan Securities

Candidate Biography and Personal Statement

I have worked in the financial services industry for over 20 years. First as a lawyer in private practice representing firms of all sizes, as well as individuals, then as in-house counsel at Morgan Stanley. I've gone on to hold a variety of positions in Compliance at both Morgan Stanley and at J.P. Morgan. I was fortunate enough to briefly fill a vacancy on this Committee in the past and found would very much like to serve a full term during this time of significant change in our industry.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
