

**District 2 – West Region Candidate**

- Dan Thomas, Supervisory Principal/Supervision of Registered Representatives, Independent Financial Group, LLC

## Candidate Profile Form—Regional Committee Election

Candidate Name: Danny Thomas

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Title: Supervisory Principal

Firm: IFG

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### Candidate Biography and Personal Statement

Thank you for allowing me this opportunity to give you some background about who I am and why I am asking for the honor to represent you on FINRA's Regional Committee.

I am currently a Supervisory Principal at Independent Financial Group. I bring more than 20 years of industry experience with financial institutions doing business in wirehouses, the bank channel, and independent broker dealers. I have obtained the following registrations 4, 7, 24, 53, 63, 65, and 99 in addition to earning the Certified Regulatory and Compliance Professional (CRCP®) designation. I have held a variety of positions throughout my time in the industry that include Registered Representative, Branch Manager, Recruiter, and Chief Compliance Officer. My career has given me a wide range of perspectives and relationships with both industry insiders and regulators that will allow me to be a productive member of the Regional Committee and advocate for you.

Given the ever changing regulatory environment we live in, I will endeavor to promote a culture that works to benefit all stakeholders and where common sense is not forgotten.

I respectfully ask for your vote and would be privileged to serve our industry by representing you.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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