

#### **District 4 – Midwest Region Candidates**

- Elizabeth Hansen, SVP Chief Compliance Officer, Waddell & Reed, Inc.
- Trinity Y. Lee, Chief Compliance Officer, Heim, Young & Associates, Inc.
- Kevin J. Miller, Executive Vice President, General Counsel & Chief Compliance Officer Securities America, Inc.
- Seth A. Miller, Senior VP Risk Management, General Counsel, Chief Risk Officer, Cambridge Investment Research, Inc.
- Charles H. Richter, Chief Compliance Officer, First National Capital Markets

## Candidate Profile Form—Regional Committee Election

Candidate Name: Elizabeth Hansen

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Title: SVP Chief Compliance Officer

Firm: Waddell & Reed Inc., Iv

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### Candidate Biography and Personal Statement

Elizabeth Hansen is responsible for the leadership of Waddell & Reed Financial, Inc. subsidiaries Waddell & Reed, Inc. (W&R) and Ivy Distributors, Inc. (IDI) compliance functions. She oversees compliance process and procedures for W&R as well as IDI's sales activities. She is involved at a senior level in compliance surveillance and oversight and the interpretation and application of regulatory statutes and rules on a federal and state level. She also provides strategic recommendations with regard to the design and implementation of compliance and risk management programs. She joined Waddell & Reed in 2018.

Ms. Hansen most recently was with Ameriprise Financial, where she spent 18 years. She served for nearly seven years as Vice President and Chief Compliance Officer for American Enterprise Investment Services (the clearing broker-dealer for Ameriprise) before being appointed Vice President and Chief Compliance Officer for Ameriprise Financial Services, Inc., where she was charged with overall responsibility for the compliance program of the broker-dealer and investment adviser.

Ms. Hansen graduated with a B.A. from Kansas State University in 1991 and earned an M.A. in Management from Webster University in 1995. She is a member for SIFMA, FSI and serves on FINRA CE Council and as Vice-Chair of FSI Compliance Council.

#### Personal Statement

I firmly believe industry engagement is critical in helping shape future regulatory landscapes. I am committed in ensuring our voice is not an afterthought but is one of the main components that drives regulation in a way that balances controls and ease of business. Secondly, it is my vision to help modernize regulation in support of the ever changing technology environment.

#### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Trinity Y. Lee

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Title: Chief Compliance Officer

Firm: Heim, Young & Associa

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### Candidate Biography and Personal Statement

Trinity Y. Lee Heim, Young & Associates, Inc 38993

I am the Chief Compliance Officer for Heim, Young & Associates, a registered broker / dealer in Springfield, MO. I am also the CCO of our investment advisor HYA Financial Corp. I serve as a member of the leadership team and have overall responsibility for our firm's compliance functions. I have 10 years experience working in various operations positions and prior to my roles in operations and compliance, I worked as a registered representative at Waddell & Reed for 3 years. Before entering the financial industry I served as an officer in the United States Army. Having these multifaceted responsibilities allow me to approach situations through a lens of compliance, technology and practical limitations, and finally, from a leadership perspective. These experiences throughout my life form the basis of my belief that every day is a measure of accountability, ethics and excellence.

As a compliance professional, I believe that all leaders in organizations have a responsibility to participate in their various communities. We should seek improvements in our understanding and learn more about how others achieve success. Each organization working to attain excellence inspires and lends a hand to others. Serving on the FINRA Regional Committee would provide me an opportunity to positively contribute to our community, lending a voice to help shape new initiatives. As a compliance and regulatory principal of a small firm, I am keenly aware of the daily balancing of priorities and resources. Each of us strive to meet our compliance obligations and the spirit of our regulatory requirements, but face tough choices in how to do so. My background in a wide range of compliance and operations disciplines, coupled with an "in-the-trenches" perspective make me an ideal candidate for a position on the FINRA Regional Committee.

Please consider me for a FINRA Regional Committee position. I would consider it an honor to be an advocate for our community.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/trinity-y-lee-82630138/>

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Link to YouTube video:

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# Candidate Profile Form—Regional Committee Election

Candidate Name: Kevin J. Miller

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Title: Executive Vice President, General Counsel & Chief Compliance Officer

Firm: Securities America, Inc.

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## Candidate Biography and Personal Statement

My name is Kevin Miller, Executive Vice President, General Counsel and Chief Compliance Officer at Securities America, Inc., in Omaha, Nebraska. I'm running for the FINRA Midwest Regional District 4 Committee Representative seat, and I'd like to ask for your vote.

I'm passionate about our industry and its future, and believe that all firms – including independent, bank and insurance-owned firms – can and should play a crucial role in helping to shape our regulatory landscape.

As someone who has nearly three decades of experience working on the front lines, helping financial advisors best serve their clients, capture new opportunities and tackle challenges when they come up, I understand how important it is for firms to collaborate with and provide input to FINRA regarding all aspects of the regulatory process, including:

- **RULEMAKING:** We all agree on the need for common sense regulations that protect the end investor and support public confidence in the markets. I will work with FINRA to clearly delineate the rules – and the penalties for breaking these rules – up front.

- **TRANSPARENCY:** I will work with FINRA as they continue to enhance transparency and will advocate for expanded opportunities for financial advisors to be more involved in FINRA's rulemaking and advisory committees.

- **EASE OF DOING BUSINESS:** Protecting investors and easing excessive regulatory burdens does not have to be reduced to an "either/or" equation. I will advocate for a regulatory approach that reduces excessive burdens with no material benefit to investors, without diluting regulations consistent with the mission of protecting investors.

- **DIVERSITY:** I will actively promote the cause of enhancing diversity and inclusiveness in our industry by working with FINRA to assist firms in bringing aboard – and driving the professional success of – more female advisors, Millennial advisors and advisors from a diverse array of backgrounds.

I have over 28 years of legal and compliance experience in the financial services industry, including on the business side, so I understand the balance between business growth and risk mitigation.

I regularly speak and present at industry and trade conferences, including the FINRA Annual Conference, the NSCP Annual Conference, the IBDC Conference and FSI Annual and Forum Conferences.

I have actively participated in the following organizations, committees and task forces:

- FINRA Membership Committee
- FINRA Membership Committee
- FINRA Arbitration Task Force
- FSI Compliance Council – 2019 Chair
- FSI Council Leadership Committee
- FSI Arbitration Task Force
- FSI/FINRA Task Forces

## Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Seth A. Miller

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Title: Senior VP Risk Management, General Counsel, Chief Risk Officer,

Firm: Cambridge

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### Candidate Biography and Personal Statement

I am applying for a seat on the Regional Committee to share my insight and vision as a younger industry executive on how the industry will need to evolve over the next 5 years. We have the opportunity to improve how member firms and associated persons provide services and products to clients while enhancing compliance with FINRA rules by utilizing new technology and streamlining the regulatory experience and requirements. I believe I can offer a unique and valuable perspective on the committee due to my role as an attorney, executive, director and shareholder of a large member firm. I am also a small business owner outside of the securities industry, which helps me understand and wrestle with the business needs and demands facing small business owners; this experience also helps me relate to the challenges facing many of the registered representatives who are small business owners trying to run a successful and compliant enterprise.

I was appointed to Cambridge's Board of Directors in 2018 to help drive its growth and innovation, after spending the past 10 years building teams, systems, and processes to manage all internal and external legal, compliance and regulatory affairs for Cambridge. In my current role, I have executive over-site of the Legal, Risk Assessment, Compliance, and Supervision Departments and provide legal and regulatory support and guidance to the Board, senior executives and each Cambridge department. I have been actively involved in various committees, task forces and/or working groups with the Financial Services Institute, Pershing LLC and Fidelity Clearing & Custody Solutions. My prior experience includes practicing law with the international law firm, Shook, Hardy & Bacon L.L.P. I earned a Bachelor of Science in finance and management from Iowa State University and a J.D. from the University of Iowa College of Law. I currently hold FINRA Series 7, 24, and 66 licenses and I am licensed to practice law before the Iowa and Missouri state bars.

I am actively involved in helping shape new rules and regulations, working with trade organizations to comment on proposed rules and challenging final rules and regulations that are problematic for our industry. I have drafted and submitted numerous comment letters on behalf of Cambridge to help shape the DOL Fiduciary Rule, its interpretation, implementation, and delay, as well as the SEC's Regulation Best Interest proposal. I frequently participate in speaking engagements across the country.

### Optional Links:

Link to personal website, resume or CV: <https://www.investmentnews.com/section/40-under-40/2018/profile/34/Set>

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Link to YouTube video:

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## Candidate Profile Form—Regional Committee Election

Candidate Name: Charles H. Richter

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Title: Chief Compliance Officer

Firm: First National Capital M

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### Candidate Biography and Personal Statement

Charles Richter, J.D.

Extensive compliance and regulatory experience with Mutual Funds, Investment Advisors, and Broker Dealers. Significant experience as point person in SEC and FINRA Regulatory Examinations. Responsible for creation and implementation of Financial Service Compliance Programs for more than 25 years.

Member New York Bar and Nebraska Bar

Series 4, Series 7, Series 9 & 10, Series 24, Series 27, Series 53, Series 63

August 2018 to Present

Chief Compliance Officer for First National Capital Markets, Omaha, NE

2005 – 2017

Chief Compliance Officer for Fenimore Asset Management Trust, Cobleskill, NY

2004 – 2017

Chief Compliance Officer for Fenimore Asset Management, Inc., Fenimore Securities, Inc., and Fenimore Asset Management Trust T/A, Cobleskill, NY

1995 – 2004

Vice President and Compliance Officer for Kuehl Capital Corporation, Omaha, NE

1995 – 2004

Chief Compliance Officer and Chief Operating Officer of Manarin Investment Counsel, Ltd. - Omaha, NE

1991 – 2004

President of Broker Dealer Services, LLC, Omaha, NE

#### Professional Involvement

Investment Company Institute Chief Compliance Officer Committee – 2005-2017

Investment Company Institute XBRL Working Group – 2005

#### Education

Juris Doctor, Creighton University School of Law, Omaha, NE

Bachelor of Arts in Political Science, Creighton University, Omaha, NE

Personal Statement: After more than 25 years of compliance and regulatory experience, I am still passionate about the importance of my profession to the financial industry. If chosen to sit on the FINRA Regional Committee, it would be my privilege to use my extensive industry experience to address the important member concerns on current rules and to provide input on rule proposals impacting the future of our industry. The creation of regulatory programs that would benefit my colleagues in the industry may be the most important part of this position, in my opinion.

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Link to YouTube video:

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