

District 6 – South Region Candidates

- Eric Chartan, Vice President & Associate General Counsel, HD Vest Investment Services
- Cade Hamner, General Counsel & Chief Compliance Officer, Commerce Street Capital, LLC
- Michael Pedlow, Chief Compliance Officer, Kestra Investment Services, LLC

Candidate Profile Form — Regional Committee Election

Candidate Name: Eric Chartan

Title: Vice President & Associate General Counsel

Firm: HD Vest Investment Sei

Candidate Biography and Personal Statement

To Whom It May Concern:

I am seeking a position on FINRA's Regional Committee in District 6. A link to my profile on LinkedIn is included below.

I'm a highly skilled management-level attorney with in-house, private law firm, and public sector experience. I have been employed as in-house counsel for HD Vest Investment Services ("HD Vest") for almost six years. In this capacity, I handle various matters involving the federal and state securities laws, regulations, regulatory administrative and enforcement matters, internal investigations and general corporate matters. I regularly advise internal business clients regarding legal issues associated with strategic business initiatives. In addition, I regularly work with compliance and operations management to develop and/or modify policies and procedures. I possess great interpersonal and effective communication skills, impeccable ethics and integrity, the ability to quickly assess complex issues and give appropriate weight to the concerns of the stakeholders while mitigating risk and recommending appropriate practical solutions.

I am greatly interested in opportunities that will foster forming strong working relationships with my peers in the investment services industry. I have served on compliance committees through the Financial Services Institute (FSI), an industry trade group and on various panels at the FSI conferences, as well as at National Society of Compliance Professionals (NSCP) Conferences. In addition, I have attended several FINRA conferences. These membership opportunities have allowed me to meaningfully contribute to the compliance dialog with a variety of firms.

In 2017, I successfully completed FINRA's Certified Regulatory and Compliance Program (CRCP) at Wharton. This was an excellent experience. I sincerely enjoyed networking with regulatory and industry peers in this intensive setting and learning from FINRA's experts and senior management and several of Wharton's faculty members.

I strongly believe that my background and experience -- and sincere interest in contributing to the compliance dialog in our industry -- will be a good fit for service on FINRA's Regional Committee in District 6.

Thank you for your consideration.

Very truly yours,

Eric Chartan

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/eric-chartan-7206771/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Cade Hamner

Title: General Counsel & Chief Compliance Officer Commerce Street Capital Firm:

Candidate Biography and Personal Statement

Cade Hamner is General Counsel of Commerce Street Holdings, LLC, and Chief Compliance Officer for Commerce Street Capital, LLC, a FINRA member broker dealer, and Commerce Street Investment Advisor, LLC, an SEC-registered investment adviser. He began his career in the financial industry in Dallas over 20 years ago as a trader and market maker of NASDAQ securities, before moving into supervision, compliance, and ultimately law.

Mr. Hamner previously served as CCO and corporate counsel for a broker dealer, owned by a consortium of bulge bracket Wall Street firms, which managed an electronic equities and options trading platform. He has previously navigated financial firms through the legal and compliance aspects of mergers, acquisitions, and divestitures. He has in-depth experience managing broker dealer and investment adviser compliance processes, including sales practices and private fund formation. Additionally, Mr. Hamner has a deep knowledge and understanding of the securities laws which regulate broker dealers and investment advisers, including the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, and the Investment Company Act of 1940.

Mr. Hamner received a BS in Business Administration, summa cum laude, from the University of Texas at Dallas, and a JD from Southern Methodist University. Mr. Hamner is a member of the State Bar of Texas, and a FINRA registered representative and general securities principal.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/cade-hamner-a5b926b8/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____