

## **District 7 – South Region Candidates**

- Kirk Bell, SVP, Regional Director, Raymond James Financial Services, Inc.
- Bernard A. Breton, Chief Compliance Officer, Triad Advisors LLC
- Steven M. Greenbaum, Vice President and General Counsel, TradeStation Securities, Inc.
- Rebekah J. Powers, SVP, Chief Compliance Officer, Calton & Associates, Inc.
- Gigi Szekely, Chief Compliance Officer, Newport Group Securities, Inc.
- Melinda Wolfe, Chief Compliance Officer, Kovack Securities Inc.

# Candidate Profile Form—Regional Committee Election

Candidate Name: Kirk Bell

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Title: SVP, Regional Director

Firm: Raymond James

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## Candidate Biography and Personal Statement

Since joining Raymond James Financial Services in 2000, I've directed various advisor support areas. The Branch Services and Concierge Services teams were responsible for advisor service, problem resolution, and escalation of matters. Following the management of these teams, I oversaw RJFS Operations Support. This role required oversight of the firm's option approvals, orphaned client accounts, and various broker/dealer projects. In early 2005, I accepted the Assistant Regional Director role in RJFS Regional Management with responsibility for supporting the operations, growth and compliance tasks. I was named regional director for the Independent Contractor Division's Central Region in 2013. As the regional director, my responsibilities include advisor retention, recruiting, growth/efficiency support, and branch risk management as the registered principal/supervisor for the region.

As a longstanding member of RJFS management, I've experienced numerous situations related to how our regulatory framework can be helpful and a hindrance to affiliated advisors and their clients. This exposure allows for me to make informed supervision decisions while balancing the business impact. I have the sort of experience that allows me to assist independent business owners with managing and protecting a growing business. I enjoy helping advisors unlock their potential by helping uncover their own obstacles as well as areas of strength. My role is to help advisors assess where they have been, where they are today, and where they want to go in the future. I want to help them move from functioning to flourishing, both personally and professionally. Our risk management efforts is an important element to accomplishing this goal.

I earned a bachelor's degree and an MBA from the University of Florida and began in the financial services industry with Merrill Lynch. I hold the CFP, Registered Corporate Coaching, and Wealth Management Specialist designations. In addition, I've earned the series 7, 24, 53, 4, 63 and Life/Health/VA licenses.

I reside in Parrish, Florida, with his wife, Melanie, and two daughters, Coral and Sienna.

## 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: Bernard A Breton

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Title: Chief Compliance Officer

Firm: Triad Advisors, LLC

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### Candidate Biography and Personal Statement

First, I want to express my gratitude for the opportunity to be considered for this important role.

I have had the privilege of spending the last 30 plus years engaged in various compliance and risk management opportunities for a number of independent broker-dealers and investment advisory firms. I have been in a Chief Compliance Officer role for the past 18 years, the last few in District 7, where I had my first opportunity in this industry as a Compliance Examiner for NASD(FINRA) back in 1985.

Triad Advisors is a leading, independent broker-dealer focusing on offering solutions to the hybrid advisors - those registered representatives who either also own or are affiliated with an independent Registered Investment Advisor firm. We offer a variety of securities and advisory products and solutions on various custodial platforms. We are a fully-disclosed broker-dealer with approximately 850 independent registered representatives located in various locations throughout the country. Prior to this, I served for eleven years as Chief Compliance Officer at Cetera Advisors, in Denver, Colorado, overseeing its compliance program. I have also been affiliated with Carillon Investments, MetLife Securities and AXA throughout my career.

I hold an MBA with a Concentration and a BS in Economics. I am a Certified Financial Planner (CFP) and hold the Series 7, 24, 63, and 65 securities registrations. I have served on the FSI Compliance Council for two non-consecutive terms.

My career in the financial services industry has enabled me to amass a strong track record of leadership and compliance expertise. I have significant experience in Compliance and Risk Management, including the identification, evaluation and mitigation of various risk and compliance matters. I have had the opportunity to serve on FINRA (NASD) District Committees in the past, most recently in District 3 where my term ended in 2016.

A primary reason to once again put my hat in the ring to serve on a FINRA Regional Committee is my belief of the need to constantly evaluate the effectiveness of the self-regulated oversight model which oversees our industry. I have worked alongside of regulators for many years and believe they are interested in having an open, honest conversation with representatives of the firms they regulate in order to deliver an oversight program that upholds the integrity of our industry without making it over-burdensome. This can only be accomplished by continuing the dialogue with FINRA on important topics touching existing regulations as well as emerging issues.

I would consider it a privilege and honor to represent you and your firm in this important role.

### 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: Steven M. Greenbaum

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Title: Vice President and General Counsel

Firm: TradeStation Securities

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### Candidate Biography and Personal Statement

I am Vice President and General Counsel of TradeStation Securities, Inc. (TradeStation), a South Florida-based self-clearing online broker-dealer and futures commission merchant, registered with the SEC and the CFTC respectively. TradeStation is ultimately owned by Monex, Inc., a publicly-traded Japanese financial institution. As lead counsel for TradeStation, I advise the firm on general legal matters, human resources and contractual issues. I also represent the firm in arbitrations, CFTC reparations and regulatory investigations, oversee the anti-money laundering and fraud prevention functions, and serve as a legal advisor to the board of directors, senior management, the risk committees and the chief compliance officer. I spent the majority of my thirty-five year legal career (1988-2005) as in-house counsel with PaineWebber, Inc. and UBS, Inc., first representing the firm in court and arbitration proceedings, and thereafter, as a senior vice president, supervising twelve attorneys who helped manage risk throughout the U.S. retail branch system. During my tenure at UBS, I also ran the firm's retail disciplinary committee and was a member of its policy review committee.

From 2013-2014, I served as President of the Florida Securities Dealers Association, Inc. ("FSDA"), a non-profit organization that represents the securities industry's interests in Tallahassee and considers investor protection as one of its most important missions. Under my leadership, the FSDA embarked on a campaign to educate Florida residents, especially the elderly and students, about prudent investing and fraud prevention. I remain an active FSDA board member.

I am rated AV® Preeminent™ by Martindale-Hubbell and am a Florida Supreme Court certified mediator for civil and county court matters. I have also served as a FINRA arbitrator for industry and customer cases. In addition to holding law licenses in Florida and Georgia (inactive), I hold the following industry licenses: Series 3, 7, 24, 30, 34 and 63. I received a Bachelor of Arts in 1980 and a Juris Doctor in 1983 from Tulane University in New Orleans. I also serve as a director on the board of ICare ICure Childhood Cancer Foundation, a South Florida charity whose mission is to fund research to find gentler treatments for childhood cancers.

### Personal Statement

With thirty-five years of experience in the securities industry working at both large and small firms, I have become very familiar with FINRA rules and regulations, so I believe that I am uniquely qualified to serve on FINRA's Regional Committee as a small firm representative for District 7. My goal as a committee member would be to assist FINRA with respect to industry trends, rule changes and related matters, and to educate firms in my district about FINRA's responsibilities.

### 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: Rebekah J Powers

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Title: SVP, Chief Compliance Officer, AMLCO

Firm: Calton & Associates, In

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### Candidate Biography and Personal Statement

Rebekah J Powers is Senior Vice President, Chief Compliance Officer, and Anti-Money Laundering Compliance Officer at Calton & Associates, Inc. Calton is a mid-size, independent broker/dealer and registered investment adviser located in Tampa, Florida. In her role with Calton, Ms. Powers administers and oversees the compliance program for both the broker/dealer and the investment adviser, in addition to the firm's AML compliance program. She also oversees regulatory examinations, and manages the firm's relationships with various regulatory bodies.

Ms. Powers joined Calton in February 2017. Prior to that, she served for nearly five years as the Director of Compliance for Summit Brokerage Services, Inc., a Cetera Financial Group firm in Boca Raton, Florida. She has worked in the securities industry since 2002, and has had extensive experience in various aspects of the business. Prior to transitioning to compliance in 2008, she worked in sales, trading, and supervision, allowing her to obtain a full appreciation of firm operations.

Ms. Powers is committed to being a voice for independent firms. She wants to collaborate with FINRA on thoughtful ways to approach new rule-making, as well as any updates which may be needed for existing rules. She has a strong desire to listen to peer firms, gain an understanding of their varying points of view, and be a positive force for constructive and practical regulatory change.

Ms. Powers holds the FINRA series 7, 24, 53, and 4 licenses, as well as the NASAA series 66. She also serves as a member of the National Society of Compliance Professionals Meetings Committee. She has a bachelor of science in business administration from Miami University.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/rebekah-powers-90b09b26/>

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Link to YouTube video:

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# Candidate Profile Form—Regional Committee Election

Candidate Name: Gigi Szekely

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Title: Chief Compliance Officer

Firm: Newport Group Security

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## Candidate Biography and Personal Statement

Thank you for giving me the opportunity to submit my application to serve as a Regional Committee member for the South Region. Except for a short period of time, I have been licensed with FINRA since 1996 in a Registered Principal capacity. Since 2003, I have served as a Chief Compliance Officer for the limited-purpose broker-dealers for Deutsche Asset Management, Eaton Vance Management and currently Newport Group, Inc. I am currently the CCO for Newport Group's dually registered investment adviser and broker-dealer. Products distributed through these institutions include mutual funds, variable annuities, private placements and insurance.

Over the course of my tenor, I have seen how the compliance environment has grown internally within organizations and between member firms and regulators. Compliance is no longer viewed as "sales prevention". Senior management on a daily basis relies on compliance to guide them in doing the "right" thing. Although the organizations that I have been a part do not service "retail" customers, there are challenges. The challenge being "wholesalers" selling proprietary mutual funds to the retail broker-dealers and compliance providing guidance around those sales practices. Trying to create compliance programs around rules and regulations that are written for a retail broker such as branch inspections is a challenge for limited-purpose broker dealers. It has been a challenge for firms to comply with the rules as said, without feeling personally intrusive. I serve as a committee member on the National Society of Compliance Professionals broker-dealer committee and played an active role in the NSCP's response to FINRA's request for comment on the proposed rules for remote inspections. I encourage FINRA to take the recommendations into high considerations. Implementing remote inspections allows firms to allocate the financial cost of travel to other surveillance mechanisms.

As an industry we have to commend FINRA for enhancing their relationships with member firms. I have had the opportunity to work in two districts, Boston and now Florida. The Boca Raton District office is very approachable. Our recent exam was conducted by the Dallas office and they were a great team. The risk based approach to the examination process has also been valuable both to member firms and FINRA. It allows FINRA to focus on a broker-dealer's core business vs. checking the box on areas that have no impact to the end client. I believe my experience leading several FINRA examinations can bring additional value to the FINRA examination program by helping to customize examinations geared to broker-dealers that are not faced with the challenges of a full service broker-dealer.

I would welcome the opportunity to serve as a South Region committee member and believe that my industry experience can bring value to FINRA's objective of protecting the investing public by providing insight on industry practices that provide product to the retail space.

## Optional Links:

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

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Link to YouTube video:

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**Candidate Profile Form—Regional Committee Election**

Candidate Name: Melinda Wolfe

Title: CEO /S.V.P.

Firm: Kovack Securities, Inc.

**Candidate Biography and Personal Statement**

**Optional Links:**

Link to personal website, resume or CV:

Link to YouTube video:

Serving as a Committee Member to FINRA District 7 would truly be an honor and I would like to thank the voting members for your consideration.

I am the Senior Vice President and Chief Compliance Officer of Kovack Securities, Inc. ("KSI"). KSI is a registered financial services firm; structured as a FINRA registered broker-dealer. As part of the Kovack Financial Companies ("KFC"). I have been a compliance officer with KFC since 2006 and the Chief Compliance Officer for the KFC since 2010. Prior to that, I have 20 years experience working as a FINOP. I hold the Series 6, 7, 24, and 27 licenses.

Throughout my 32+ year career in the securities industry, I have held numerous executive positions at privately held small and mid-sized broker-dealers. My vast experience allows me to understand the regulatory challenges facing small firms today. Throughout my career, I have worked diligently to understand the rules of our industry and implement them in a practical and efficient manner.

Additionally, at FINRA's request in 2015, I finished the term for a District 7 Committee Member who was no longer able to serve.

Prior to my work in the industry, I graduated from Florida International University with a Bachelors Degree in Business Administration and Accounting.

I am confident, that if elected, my extensive knowledge, experience, and passion for the industry would be a valuable asset. If elected, I promise to serve with dilligence and integrity while working toward a more efficient regulatory environment.

I would be honored to represent FINRA District 7 Committee and am truly grateful for your consideration.

Melinda Wolfe