

District 8 – Midwest Region Candidates

- Suzanne L. Bond, Senior Vice President, Chief Compliance Officer, Inland Securities Corporation
- A. Brad Busscher, Chief Administrative Officer & General Counsel, Incapital LLC
- Kenneth M. Cherrier, Chief Compliance Officer, Comerica Securities
- Allen D. Greenberg, Chief Operations Officer, Matrix Executions, LLC
- William Hayden, Chief Compliance Officer, KeyBanc Capital Markets Inc.
- Elizabeth C. Kaplan, Chief Compliance Officer, J.J.B. Hilliard W.L. Lyons, LLC
- Peter Francis Schwartz, Principal, Gregory J. Schwartz & Co., Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: Suzanne L. Bond

Title: Senior Vice President, Chief Compliance Officer

Firm: Inland Securities Corp

Candidate Biography and Personal Statement

Candidate Bio Summary:

Experienced Chief Compliance Officer with a 30+ year demonstrated track record in various sectors of the financial services industry. Began career in wirehouse channel's fixed income and futures divisions (Hutton, Merrill) and further expanded expertise across regional and independent broker/dealers and registered investment advisory firms. Skilled in Business Governance and Risk Management, Investment Management Practices, Securities Markets and Trends, and Compliance Management. Oversees development, revision, implementation, and enforcement of compliance policies for enterprise. Effectively communicates policies to registered personnel, stakeholders and others. Assists the business with strategic planning, operational procedure, employee compensation, and budget development. Oversees the review, revision, and approval of all press releases, sales literature and general marketing pieces. Current internal committee participation: Advertising Review Committee; Investment Committee; Product Due Diligence Committee; Steering Committee (s); IT and OPS Committee; New Hire Committee.

Strong influencer to business stakeholders with a Master's degree focused in Business Law from Loyola University Chicago. Current Chairperson - Institute for Portfolio Alternatives (IPA) Compliance Committee. Member - Chicago Legal & Compliance Roundtable. Frequently invited speaker at national industry events. Active FINRA Series 7,24,79,66,99.

Personal Statement:

Since my earliest days in regulation and compliance, I realized this area was the highest and best use of my broad skill set, and where I could most make the difference to businesses and to individuals. I am energized by the ability to help others achieve common sense solutions to problems large and small - as we know, in the investment world, small problems can swiftly become large if left unresolved! I have long held that a culture of compliance is critical to bringing about a meeting of the minds between all the constituents at a financial services company. Teaching and training, partnering and mentoring, collaborating and inspiring are tools far more useful than simply reciting rules and hoping for the best.

FINRA's District 8 is of particular importance to me primarily because of the concentration and variety of firms in Chicago and surrounding cities that mirror much of my own hands-on experience. Drawing from my beginnings as a futures trader in the pits in NYC to then account representative, financial advisor, supervisor and now head of compliance, I propose to bring the breadth and wealth of my knowledge and background as a committee member for the district.

What matters to me and should matter to all of us is strong industry representation in conjunction with our regulators and solid experience backing up the analysis. If chosen, I will strongly advocate for my fellow FINRA member firms and our representatives with a straightforward thoughtfulness of process, but also with a creative eye for problem solving.

Optional Links:

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

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: A. Brad Busscher

Title: Chief Administrative Officer & General Counsel

Firm: Incapital LLC

Candidate Biography and Personal Statement

My name is Brad Busscher and I am the Chief Administrative Officer and General Counsel of two (2) FINRA small firm Member broker-dealers, Incapital LLC and Incapital Distributors LLC (collectively, "Incapital"), headquartered in Chicago, Illinois. I am seeking election to the FINRA Midwest Region Committee.

Given my diverse career in the securities industry, including serving as an SEC Enforcement Branch Chief and spending the past eighteen years as the chief legal officer (and now Chief Administrative Officer) of two distinct financial services firms, I believe that I am uniquely qualified to offer insightful, practical and sensible solutions to the current and prospective issues confronting our industry.

During my time in the securities industry, I have been extensively involved with all elements of the broker-dealer business. I understand the impact of rule changes. I have also been directly involved in annual regulatory and oversight exams and I have been actively involved in handling enforcement matters, both as a prosecutor and in-house counsel. I understand the time, expense and disruption associated with regulatory requests, and, in particular, enforcement proceedings. This background will allow me to offer a perspective with the Midwest Region Committee and in disciplinary proceedings that might not otherwise be properly conveyed.

While employed at Mesrow Financial, the SEC's Office of International Affairs asked me to host a delegation of international securities regulators. It was plainly evident from those meetings that the structure of our financial markets and our regulatory framework is the model that the rest of world emulates and seeks to replicate. It is this model that ensures vibrant capital markets whereby both individual and institutional investors can invest with a sense of security, particularly given the strong enforcement framework protecting their interests. This model also provides rewarding jobs for dedicated individuals who play an important and critical role in positively improving the financial wellbeing of their clients. It is imperative in my opinion that investor protection remains at the forefront of our efforts to improve upon this model.

However, we cannot lose sight of the fact that financial services firms engage in lawful activities to realize a return on capital and generate investment returns for their stakeholders. With each change to the body of regulatory rules that govern the conduct of firms and their associated persons, there is an important cost-benefit analysis that must be balanced to not only ensure the continued strength of our financial markets and the protection of investors but also to ensure the ongoing financial stability and growth potential of our regulated financial services firms, both big and small. Clearly, we cannot sustain a financial services industry that is concentrated among large financial services providers. Small firms and the broker-dealer "pay as you go" advice model must both be preserved to serve the needs of the investing community and our clients.

I am respectfully seeking your vote to serve on the Midwest Region FINRA Committee. If elected, I will work tirelessly to effect positive change in our industry.

Thank you!

Respectfully,

Brad Busscher

Optional Links:

Link to personal website, resume or CV: <https://www.incapital.com/BusscherCV>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Kenneth M. Cherrier

Title: Chief Compliance Officer

Firm: Comerica Securities

Candidate Biography and Personal Statement

WHY I AM RUNNING FOR REGION COMMITTEE

I feel strongly in the concept of being a Steward for the securities industry. It is a CCO's job to give guidance and consultation to his/her firm. But I truly believe that it is also the CCO's responsibility to give guidance and consultation to FINRA and the SEC as well. It is our duty to actively participate in our own regulation... and serving as an industry representative on a FINRA Regional Committee is the most effective and impactful way to carry out that directive!

PROFILE

I am a nationally recognized highly qualified C-level executive in the financial enterprise risk management industry with 20 years extensive experience advising and building compliance and supervision platforms. I leverage unique combinations of regulation subject matter expertise and business acumen, achieving business success and compliance. I have proven influential leadership, deep understanding of the importance of business advocacy, and building consensus to achieve results. I engineer high impact, cost effective strategies mitigating risk efficiently. I am "pro firm" and "pro advisor" with a belief we need to take ownership of our regulation.

EXPERIENCE

Chief Compliance Officer, Comerica Securities Inc.	Detroit, MI	Oct 2017 – Present
Chief Supervisory Officer, Waddell & Reed	Overland Park, KS	Feb 2010 – Apr 2017
Chief Compliance Officer/Chief AML Officer, Woodbury Financial	Woodbury, MN	Sep 2007 – Mar 2009
Chief Compliance Officer. Fintegra Financial Solutions	Brooklyn Center, MN	Oct 2002 – Jul 2007

REGULATORY ACHIEVEMENTS

- + A past adjunct legal professor at William Mitchel College of Law and instructor at Wharton for FINRA's CRCP compliance certification program.
- + Industry-recognized subject matter expert and speaker/panel participant at ACAMS, FINRA, NSCP, FSI, NRS, and other industry association conferences.
- + Past member of the following FINRA committees: District 4 Committee, Continuing Education Committee, Regulatory Affairs Committee, District Nominating Committee.
- + Currently sit on the FINRA Continuing Education Content Group, and I am also a participant in FINRA industry enforcement and adjudication actions as a FINRA hearing panelist and arbitrator.

Optional Links:

Link to personal website, resume or CV: LinkedIn: <https://www.linkedin.com/in/kenneth-cherrier-858434102>

Link to YouTube video: <https://m.youtube.com/watch?v=tIY4O8Plxdc> [m.youtube.com]

Candidate Profile Form—Regional Committee Election

Candidate Name: Allen D. Greenberg

Title: Chief Operations Officer

Firm: Matrix Executions LLC

Candidate Biography and Personal Statement

I have been employed in the brokerage business for over thirty years, working on the CBOE trading floor, for entrepreneurial businesses, multi-national corporate firms, and start-up broker-dealers. Watching the business evolve from the days when a 100 million shares trading at the NYSE would almost cause the system to collapse to modern trading when hundreds of thousands of messages per second are the norm, has fueled my interest in becoming more involved with FINRA as the industry grows and the problems and issues it faces become more complex.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/allendgreenberg

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Bill Hayden

Title: Chief Compliance Officer

Firm: KeyBanc Capital Markets Inc

Candidate Biography and Personal Statement

Biographical:

I have worked in both the securities industry and in regulatory organizations during my career. For the past 5 years I have been the CCO for KeyBanc Capital Markets. For the 5 years prior to that I was Director of FINRA's Office of Emerging Regulatory Issues, in which role I participated in or appeared before multiple FINRA committees, including various district committees. My prior industry experience includes several senior compliance positions at Wachovia, including CCO for Corporate and Investment Banking. Before joining Wachovia, I was a staff attorney and branch chief in the SEC's Office of Compliance Inspections and Examinations.

Personal Statement:

I continue to believe in the importance of maintaining an open and robust dialogue through the FINRA committee process. Member firms can have a significant impact on regulatory matters when they provide honest feedback, balanced criticism, and insightful suggestions. I want to be part of that dialogue and believe I can add some value to it.

Having spent significant time as regulator (FINRA & SEC) and as an industry member, I think I would bring a unique perspective to the District 8 Committee. I've spent the past five years as CCO at one of the few remaining large regional broker-dealers. As such, I've had the opportunity to experience the challenges of running a compliance program at a firm that has all the elements of a large investment bank, but on a scale and with a middle market focus that is more consistent with other small and mid-sized firms located outside of the country's largest financial centers. As a former regulator and district committee member I have the background to help identify and work through the meaningful issues the district committee program was designed to address. I can bring to those discussions an understanding of the regulatory point of view, as well as the direct and recent experiences of a compliance officer at a regulated firm.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Elizabeth C. Kaplan

Title: Chief Compliance Officer

Firm: J.J.B. Hilliard W.L. Lyons LLC

Candidate Biography and Personal Statement

Biography:

Elizabeth joined Hilliard Lyons in 2002 after practicing corporate and securities law at national and regional law firms. Hilliard Lyons is a financial services firm headquartered in Louisville since 1854, with 70 branches across the Midwest and Southeast. Prior to being promoted to Chief Compliance Officer, Elizabeth served various roles within the Hilliard Lyons Compliance Department.

Elizabeth is active on several Securities Industry and Financial Markets Association (SIFMA) committees and volunteers her time on charitable community boards including Junior Achievement and Stage One Children's theater.

Elizabeth is a graduate of Columbia University and Harvard Law School and holds the Series 7, 66, 24 and 14 licenses.

Personal Statement:

Securities regulation must protect investors while allowing regulated firms and their clients to thrive. Effective regulation facilitates high quality and ethical investment advice and the delivery of a wide variety of products and services which promote the financial well-being of investors. As Hilliard Lyons Chief Compliance Officer, I bring the unique perspective of a mid-size regional firm that has remained competitive in a very demanding business and regulatory environment.

If elected, I will deploy my 20 years of securities experience to work closely with FINRA and the other member firms to ensure that regulation is working as intended and to propose adjustments and innovate where needed. I will be open to all voices from across the industry, and I will help to build consensus when it is necessary for us to come together on issues of common concern.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—Regional Committee Election

Candidate Name: Peter Francis Schwartz

Title: Principal

Firm: Gregory J. Schwartz & C

Candidate Biography and Personal Statement

Peter F. Schwartz is a Registered Representative, Registered Investment Advisor, and a Principal of Schwartz & Co. He has been in the investment advisory business since 1996. Peter, along with his four brothers, own Schwartz & Co. which was founded by their father in 1976. The firm advises on assets of approximately \$4 billion for both institutional and private wealth clients. The firm is registered to do business, and has clients, in all 50 states.

Upon graduating from Fairfield University in Connecticut with a degree in Political Science, Peter volunteered to teach at Nativity Prep, a tuition free Jesuit Middle school in Boston's inner-city. After a year of service, he joined Morgan Stanley's Private Wealth Management group in New York City where he focused on Alternative Investments and Asset Allocation for High Net Worth individuals.

In 2017, Michigan Governor Rick Snyder appointed Peter to the Board of Trustees for the State Building Authority. The five person board oversees the issuance of bonds and notes to acquire equipment and construct facilities for the state. Peter also served as the Co-Chair of the Michigan Finance Committee for Mitt Romney for President. He is a former board member for The National Osteoporosis Foundation in Washington D.C., Detroit's St. Dominic Outreach Center, Women's Survival Center of Oakland County, Michigan Chamber of Commerce and Racquet Up Detroit.

Peter graduated from Brother Rice High School and lives in Bloomfield Hills, Michigan with his wife, Stephanie, and their two sons, Aidan and Dillon.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
