

District 9 – North Region Candidates

- Robert B. Gaeta, Sr. Specialist, Compliance & Control, Pershing LLC
- Stephanie Peters Mumford, Chief Compliance Officer and Senior Legal Counsel
T. Rowe Price Investment Services, Inc.
- Douglas A. Wright, Chief Compliance Officer, The Investment Center, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: Robert B. Gaeta

Title: Sr. Specialist, Compliance & Control

Firm: Pershing LLC

Candidate Biography and Personal Statement

Throughout my career in financial services within various banking, brokerage and wealth management firms I have always advocated for sound policy and business judgment to further the goals of the organization. I appreciate the fundamental basis for regulatory oversight but also appreciate the need to balance practical regulatory policy in the face of real constraints. I feel I would bring fair and balanced decision making to this committee position. Given this, along with the detail below, I hope you will vote for me for the District 9 Regional Committee.

Currently at Pershing LLC, a BNY Mellon company, as a senior member of the compliance and regulatory response team I communicate often with FINRA as well as other regulatory bodies and exchanges involving complex rules and regulations. I regularly discuss policy issues with senior management across Pershing's operational risk, clearing, trading services and internal audit groups. Prior to Pershing, I was a Senior Compliance Officer at FIS's (formerly SunGard) brokerage unit in Jersey City, NJ. overseeing agency trading compliance and surveillance activities. I've been a Chief Compliance Officer (CCO) for 2 broker dealers (BD's) and a CCO for an SEC Registered Investment Advisor. Other roles involve acting as Senior Compliance, Branch Manager, and Consultant for various BD's. Formerly I was an NASD Examiner in District 10 and an approved NASD Arbitration official in the State of Florida. I also hold and/or passed the Series 7, 14, 24, 27, 53, 55, 63, and 65 license exams. I have a BBA in Accounting from Pace University, NYC, NY and I am currently pursuing a Masters in Law with a concentration in corporate compliance at Fordham University Law School, NYC, NY.

Thank you very much in advance for your vote!

Robert B. Gaeta

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Stephanie Peters Mumford

Title: Chief Compliance Officer and Senior Legal Counsel

Firm: T. Rowe Price

Candidate Biography and Personal Statement

Thank you for considering me to represent member firms as a FINRA Regional Committee member. I believe my over 24 years of securities industry experience at FINRA member firms, the SEC and FINRA has provided me with a detailed understanding of the rules, regulations and procedures of the securities industry and I hope to bring this experience to the committee on behalf of member firms. I previously served on the District 9 Committee from 2014 to 2017. I found serving on the Committee to be insightful and rewarding by providing feedback to FINRA regarding current or anticipated issues.

Currently, I am Chief Compliance Officer and Senior Legal Counsel of T. Rowe Price Investment Services, Inc. I have enjoyed returning to the member firm side of the industry and have a strong appreciation for the complex regulatory environment and desire to participate in shaping the future of the securities industry as well as providing insight regarding member firm concerns.

Prior to joining T. Rowe Price, I was a Special Counsel at the Securities and Exchange Commission's Division of Trading and Markets and Senior Counsel in the Office of Compliance Inspections and Examinations. My responsibilities included evaluation and approval or disapproval of proposed rule change filings from SROs regarding all aspects of their business including fees, trading, operations, and other programs. I also co-lead the oversight of the Alternative Trading Systems Program. This entailed reviewing filings made pursuant to Regulation ATS, assessing the adequacy of the filings which involved analyzing and understanding the operations of the trading system, and being a subject matter resource for both internal and external sources. In addition, my experience includes composing rule proposals, concept releases and SEC reports for regulatory initiatives. At the SEC in the Office of Compliance Inspections and Examinations, my responsibilities included inspections of SROs as well as trading operations and practices of other financial entities including broker/dealers, electronic communication networks and Alternative Trading Systems.

Prior to my positions at the SEC, I worked in FINRA's Market Regulation Department. In Market Regulation, I was responsible for assessing potential rule violations against member firms and individuals for sufficiency of evidence and settlement of disciplinary matters. I handled matters in a variety of subject areas including market manipulation, order audit trail, trade reporting requirements, order handling rules, and short sales. I was also a staff member of FINRA's Market Regulation Committee which consisted of gaining insight and having discussions with member firms regarding new and existing trading rules and activities. Before FINRA, I held compliance positions in the industry with Linsco/Private Ledger (LPL Financial) as a Compliance Analyst and at Vanguard as a Legal Compliance Administrator.

I very much appreciate the opportunity to be considered as a member of the Regional Committee and represent District 9 member firms.

Thank you,
Stephanie Mumford

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Douglas A. Wright

Title: CCO

Firm: The Investment Center,

Candidate Biography and Personal Statement

Biography

Douglas A. Wright, Chief Compliance Officer

Recent Business Background:

The Investment Center, Inc., CCO: 04/01 – Present

InterFirst Capital Corporation, CCO, COO: 06/96 – 04/01

Post-Secondary Educational Background:

University of Arizona – 1982, B.S. Finance & Economics

Licenses:

Series 7, 63, 24, 4, 27, 65

Industry Designations:

FINRA Certified Regulatory and Compliance Professional (CRCP)

Licensed since 1987, I have over thirty-one (31) years of combined experience in compliance, supervision of staff, retail securities sales, and management. I joined The Investment Center, Inc. in 2001 as its Chief Compliance Officer. The Investment Center, Inc. has been an independent broker-dealer since 1986 (also a Registered Investment Advisor through an affiliated company) serving retail clients and has the distinction of being voted "Broker-Dealer of the Year" seven (7) times by Investment Advisor Magazine. The firm currently has over 250 registered representatives and 210 branch offices located throughout the country.

I was elected in 2014 to the District Committee for District 9 and served the 3 year term (2015-2017).

In 2011, I attended and completed the FINRA Institute at Wharton's CRCP program. As noted on FINRA's website, "the FINRA Institute at Wharton program delivers a comprehensive and rigorous course of instruction on the foundation, theory and practical application of securities laws and regulation."

I received a Bachelor of Science degree in Finance and Economics from the University of Arizona in 1982 and hold numerous securities related licenses. I am currently an active member in the National Society of Compliance Professionals. In addition, I am also active in the community as President and volunteer firefighter in New Jersey and have served in the past as a FINRA arbitrator.

Personal Statement

I believe my experience will serve all District 9 broker-dealers well and look forward, if elected for another term, to continue helping provide solutions for the securities industry within the current regulatory framework (without unnecessarily increasing the regulatory burden placed on firms). My experience incorporates almost every facet of the securities industry. I have served as a registered representative, in senior management, and operations, as a financial operations principal, and have worked in the areas of large bank broker/dealer compliance and independent broker/dealer compliance (as well as Registered Investment Advisor compliance). I understand today's regulatory issues from the perspectives of both broker-dealers and dually registered firms.

Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
