

SFAC North Region Seat Candidates

- Jay Gettenberg – FINOP, Witherspoon Capital Partners, LLC
- Earle Hollister – Compliance Manager, St. Germain Securities, Inc.

Candidate Profile Form—SFAC Election

Candidate Name: Earle F Hollister

Title: Compliance Manager/Asst CCO

Firm: St Germain Securities

Candidate Biography and Personal Statement

I have been a Registered Principal and Compliance Professional since 1999, and the last 7 years as the principal compliance contact for a dually registered firm in Springfield Massachusetts. I am completing my 3 year tenure as the small firms Representative for District 11 Boston MA in December 2018. I have found the experience exciting and informative and would like to continue representing small firms at some level in the future. My experience in Securities products dates back to 1991 when I passed my series 7 exam with Merrill Lynch. In 1997, after sales positions with Prudential life and Merrill Lynch, I joined the West Springfield office of the New England where I was the Training Director. I was responsible for Sales Material Review, Continuing Education, Agent training, Annual Compliance meeting, site inspections, and file review. Having accepted a Sales Manager's with MassMutual's Springfield Agency, I took the series 24 and accepted responsibility for the supervision of the OSJ and 30-40 sites i with as many as 150 Registered personnel. I was responsible for the day to day trading activity, file review, new business review, branch visits, regulatory filings, firm element training and registrations. After 13 successful years as an Agency Supervisor, I was approached by my current employer, St Germain Securities Inc to become the Compliance Manager. The firm employs 20-22 people of which 10-11 are registered representatives and has almost \$1.5 billion of AUM. I was hired by the CEO/CCO to update the WSP's, assess yearly the firm's CE needs, do all regulatory filings, and create a compliance culture.

Accomplishments: Since joining the firm I 1) have sat on the Regulatory CE committee that piloted and got approval on the Office based Regulatory CE 2) have undergone 2 successful FINRA audits , 3) have spent a 3 year tenure (ending December 31, 2018) as a Small Firm's representative for District 11, doing my best to represent the issues faced by small firms 4) I have participated as a panelist in several FINRA hearings in NYC and Boston, and 5) was able to become a non-public arbitrator and have 2 arbitrations ongoing.

Related Background: I have been an Adjunct Professor of Finance and Accounting for Cambridge College's Springfield Affiliate since 2012, teaching also Business Ethics, Statistics, Microeconomics, and Healthcare Courses. I have a background in Engineering, Human Resources, and Teaching, have been Life Insurance Licensed since 1978, hold a Municipal Securities Registration, have extensive experience with Advertising and Sales Material Review, and have functioned in many managerial positions including Plant Manager.

Summary: Given my commitment to the Small Firm and its related regulatory concerns, I hope to be able to continue to serve and a member of the SFAC. I feel my commitment and diversified background warrants consideration for the open seat in the North as Small Firms Rep.

Optional Links:

[Link to personal website, resume or CV:](#)

Link to YouTube video:
