

SFAC West Region Seat Candidates

- Dan Adams – Enterprise-wide Chief Compliance Officer, Acorns Securities, LLC
- Rick Dahl – Chief Compliance Officer/Executive Vice President, Sorrento Pacific Financial, LLC

Candidate Profile Form — SFAC Election

Candidate Name: Dan Adams

Title: Chief Compliance Officer, Acorns

Firm: Acorns

Candidate Biography and Personal Statement

Dan Adams is a dedicated career compliance professional with 20 years of experience in the industry. Dan is currently the enterprise-wide Chief Compliance Officer for a fast-growing and unique fintech investing firm, Acorns (comprised of the parent, Acorns Grow, a broker-dealer, Acorns Securities and an investment advisor, Acorns Advisors) based in Irvine, CA. He previously served as Chief Compliance Officer of PIMCO Investments and a Senior Vice President and Senior Compliance Officer of the parent company, PIMCO, LLC. PIMCO is one of the world's largest asset managers with over \$1.7 trillion in assets under management.

Prior to his 5 1/2 years at PIMCO, Dan served for 5 years as a Vice President and Senior Compliance Officer at BlackRock, the world's largest asset manager (by AUM). In his 20 years in the industry, Dan has also served as Chief Compliance Officer of HSH N Securities (a division of German bank HSH Nordbank), and proudly as a Compliance Examiner at FINRA (District 10) as a member of the Membership Application team. Earlier in his career, Dan served in compliance roles at Citibank/Smith Barney and Prudential Securities. He earned his BA in English from Yeshiva University (1997), and his Juris Doctor from Brooklyn Law School (2000). Dan currently holds the Series 7, 24 and 63 licenses.

Dan is excited to leverage his decades of industry experience to help the cause of investor protection while being an advocate for the industry. Having been involved in multiple facets of compliance programs at firms large and small, that run the full spectrum of product offerings (from mutual funds and ETFs to full brokerage services), Dan is in a unique position to offer expertise and a fresh point of view - seeing things from the investor's point of view, the firm point of view and, with his regulatory experience, a former regulator's eye. Dan is looking forward to opportunities to shape the future of the industry through innovation, efficiency and an understanding of the evolving marketplace. Dan also sees this as an opportunity to 'give back' to an industry that has given him so much.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: Rick Dahl

Title: Chief Compliance Officer, EVP

Firm: Sorrento Pacific Financial

Candidate Biography and Personal Statement

Rick Dahl Executive Vice President and Chief Compliance Officer, Sorrento Pacific Financial, LLC

Rick Dahl is EVP and CCO at Sorrento Pacific Financial (SPF) a broker-dealer serving small financial institutions across the U.S. Rick will bring almost 40 years of investment industry experience with both small and large firms to the Small Firm Advisory Committee.

Prior to his position with SPF and sister broker-dealer CUSO Financial Services, Rick served in a number of executive management positions at W.S. Griffith and LPL Financial, and early in his career he served as an independent financial planner for several years before moving on to compliance and management roles. In all, the experience he has gained over the years gives him the ability to understand and take action on a variety of issues facing small broker-dealers.

Rick has twice previously served on the FINRA District Committee and strongly desires to continue making inroads that will benefit small firms. With his industry experience and relationships he has built with FINRA staff and other industry advocates, Rick believes he is well positioned to be a strong voice to support the causes of interest to small broker-dealers.

If elected to the Small Firm Advisory Committee, Rick will be an advocate for small firms in many ways. “The small BD community understands the many challenges we face under today’s regulatory climate, but I am not sure the regulators appreciate what we are faced with,” He says. “We need a voice to share our concerns, not just from a rules management standpoint in dealing with multiple regulators, but also from the standpoint of addressing increasing financial burdens placed on us as well. My presence on this committee allows your concerns to be heard by the people who can act on them.”

Please elect Rick Dahl to the Small Firm Advisory Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
