

## **Attachment B: Profiles of Large Firm NAC Member Nominees**

- MaryBeth Findlay – Head of Commercial Banking Compliance, Wells Fargo Securities, LLC
- Scott Kursman – Managing Director and Chief Compliance Officer, Citigroup Global Markets, Inc.

### **MaryBeth Findlay**

#### **Head of Commercial Banking Compliance, Wells Fargo Securities, LLC**

MaryBeth Findlay is head of compliance for the Commercial Banking Division at Wells Fargo Securities, LLC, where she is FINRA Series 7 and 14 registered. Until August 2023, she was Managing Director, Global Head Markets Compliance for Barclays Capital, Inc. Prior to that, MaryBeth was Chief Compliance Officer for Credit Suisse Securities (USA) LLC. She has over 20 years of industry experience having previously worked at other global investment banks including Bear Stearns, Goldman Sachs, Nomura Financial and Sanwa Financial Products.

MaryBeth currently serves on the SIFMA Compliance & Legal Society Executive Committee, and she has served previously on FINRA's Market Regulation Committee, Fixed Income Committee and Large Firm Advisory Committee. She is a graduate of Fordham University.

### **Scott Kursman**

#### **Managing Director and Chief Compliance Officer, Citigroup Global Markets, Inc.**

Scott Kursman is a Managing Director and Chief Compliance Officer for Citigroup Global Markets, Inc., and the Citibank N.A., Swap Dealer. Prior to joining Citi in 2009, Scott was Senior Vice President and Chief Counsel for Global Compliance at Lehman Brothers and a Director at Barclays Capital. Between 1998 and 2005, Scott served as Vice President/Associate General Counsel for the Securities Industry Association (now SIFMA) where he advised member firms and advocated for regulatory changes in corporate finance, mergers and acquisitions, technology and regulation, equity and options trading, and general compliance and supervision.

Prior to 1998, Scott was an Associate Vice President and Assistant General Counsel at Prudential Securities with responsibility for advising the firm's equity trading unit. Scott began his legal career at the Securities and Exchange Commission in 1992 as an attorney-adviser in the Division of Market Regulation (now Trading and Markets) where he worked on marketplace rules for the government bond, municipal bond, listed and OTC equity, and listed options markets. An active industry participant and frequent conference speaker, Scott currently serves as President of SIFMA's Compliance & Legal Society Executive Committee and as a member of SIFMA's Compliance & Regulatory Policy Committee. Scott is a graduate of Tufts University and Boston University School of Law, is a member of the Pennsylvania and New Jersey Bar Associations, and holds FINRA Series 7, 14, 24 and 65 licenses.