

SFAB North Region Seat Candidates

- Catherine A. Cucharale COO and CCO, M. Griffith Investment Services, Inc.
(New Hartford, NY)
- John I. Fitzgerald Managing Director, Leerink Partners, LLC
(Boston, MA)

Candidate Profile Form — SFAB Election

Candidate Name:

Title:

Firm:

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—SFAB Election

Candidate Name: John I. (Jack) Fitzgerald

Title: Managing Director - Legal & Compliance Department

Firm: Leerink Partners LLC

Candidate Biography and Personal Statement

Biography

Mr. Fitzgerald is a Managing Director – Legal and Compliance at Leerink Partners LLC, an investment banking firm that offers healthcare equity research, corporate finance, capital markets sales and trading for institutional clients, where he provides legal and regulatory guidance. He has previously held legal and compliance management positions at American General Funds Distributors, CypressTree Investments, Fechter Detwiler, Boston Stock Exchange and Fidelity Investments. Mr. Fitzgerald was elected twice to serve on the FINRA Small Firm Advisory Board representing firms with less than 150 registered representatives in the North Region from Maine to West Virginia. He currently represents the securities industry on FINRA's National Arbitration and Mediation Committee. He served as a panelist for the 2009 SEC-FINRA CCO Outreach BD National Seminar and the 2010 and 2014 FINRA Annual Conferences. He received his B.A. from the University of Massachusetts (Amherst) and a J.D. from Suffolk University Law School. Mr. Fitzgerald currently holds Series 7, 24, 27, 53, 63 and 87 registrations.

Personal Statement

The role of the Small Firm Advisory Board is to represent the interests of the majority of FINRA members. All rule proposals are reviewed by the SFAB prior to consideration by the Board of Governors. From my prior experience representing the North Region, I know that the comments and suggestions from the SFAB members are critical to the process. With FINRA now undertaking its 360 Initiative, it is an important time for the small firm members to have a voice with senior management.

With only a one year vacancy, it is imperative that members of the North Region have someone representing that has experience with reviewing rule proposals and interacting with FINRA management. I have that experience. Please consider me when casting your ballot.

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Link to YouTube video:
