

## Attachment B: Profile of Small Firm Governor Candidate

### WENDY LANTON

Chief Compliance Officer/Founding Principal, Herold & Lantern Investments, Inc.

Wendy Lanton has been in the financial services industry for 30 years. She is one of the founding principals of Lantern Investments (now known as Herold & Lantern Investments), a FINRA registered broker-dealer, and Lantern Wealth Advisors, an SEC registered investment advisor. She has been the Chief Compliance Officer of her firm since its inception in 1993, and has also held positions in management, sales, trading, operations, business development, and technology.

In December 2015, Ms. Lanton was appointed to the FINRA Small Firm Advisory Committee and served as the committee chairperson in 2018. She spearheaded many small firm initiatives such as PCAOB relief, how to tackle unpaid arbitration awards, high-risk broker definitions, and use of electronic signatures. In her five-year tenure on the Small Firm Advisory Committee, she provided feedback to FINRA staff on the impact that draft rule proposals would have on small firms, if enacted.

Since 2010, Ms. Lanton has been an active member of her clearing firm's Client Steering Committee providing significant insight into technology resources, compliance, and operations. She was also the chairperson for her prior clearing firm's steering committee, leading a group of over a dozen industry leaders.

Ms. Lanton has served as the chairperson for multiple compliance forums for retail brokerage firms. She is a frequent panelist/speaker at FINRA and SEC conferences giving valuable insight as a small firm member. Most recently, she was a panelist at the 2023 FINRA Annual Conference providing her expertise on Regulation Best Interest from the small firm perspective. In 2022, she was a speaker at the FINRA Annual Small Firm Conference offering her common-sense approach to cybersecurity. Ms. Lanton has also been called upon to speak about Anti-Money Laundering, Top Regulatory Concerns and Effective Risk Based Examinations. She has written numerous compliance-centric articles focusing on topics ranging from client suitability to cyber-security which have been published in various media outlets. Ms. Lanton currently serves on the FINRA Board of Governors.

Ms. Lanton currently holds the following licenses: Series 7, 14, 24, 52, 53, 65, 79, 87 and 99. She graduated from The George Washington University where she majored in International Finance.