

Candidate Profile Form—Regional Committee Election

Candidate Name: **Jon V. Cherry**

Title: **President & Head of North America Brokerage**

Firm: **Northern Trust Securities**

Candidate Biography and Personal Statement

Biography & Personal Statement:

I am writing to express my sincere interest in joining the Midwest Regional Committee, specifically, District 8. Currently, I serve as President & Head of North America Brokerage at Northern Trust Securities, Inc. I am responsible for all aspects of the NA brokerage franchise which include: Strategy, Sales Trading, Trading, Operations and Transitions Management. An industry veteran, I bring over 24 years of experience in working in a global organization, managing both complex client relationships, and operations.

I first joined Northern Trust in 2015 to establish Northern's options trading business. Today, our derivative offering is a global product supporting Institutional Asset Owners, Asset Managers, and Ultra High net worth individuals trade execution and support needs across Index, ETF and Single-Stock options; and support for RTO derivatives, globally.

Prior to joining Northern Trust, I ran an agency trading group in Chicago, developing stock & option strategies and trading for institutional clients: Banks, Hedge Funds, and Investment Managers.

Outside Affiliation: SIFMA - Advisory Council Member: 2020 - Present

Given my background and experience, I have a comprehensive understanding of the US financial services landscape, the intricacies of its operation, and the aspirations of its professionals - both institutional and retail.

I believe that with my knowledge, passion, and dedication, I can offer a valuable perspective to the Committee. I humbly ask for your consideration and the opportunity to serve in this capacity.

Sincerely,

Jon Cherry

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/jvc/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Tim Graham**

Title: **President**

Firm: **Private Client Service**

Candidate Biography and Personal Statement

I am running for a seat on the FINRA Regional Committee because Private Client Services and I are committed to the principles of fairness, transparency, and accountability in the financial industry. I believe that the strength of our financial markets relies on the integrity of the organizations that participate in them, and I am dedicated to ensuring that these values are upheld.

One of the primary reasons firms should vote for me is my 23 years of experience in the financial industry. I have spent over two decades working in various roles, leadership levels, and companies within the industry. This diverse background has given me a comprehensive understanding of the challenges and opportunities that financial firms face on a daily basis.

Furthermore, my commitment to regulatory compliance is unwavering. My firm and I have a track record of advocating for and implementing best practices in compliance, ensuring that our firm not only meet regulatory requirements but also maintain the highest ethical standards. In an industry where trust is paramount, I am dedicated to strengthening the reputation promoting responsible conduct and ethical behavior.

Another reason firms should vote for me is my dedication to fostering collaboration and communication among industry stakeholders. I believe that a cooperative approach, involving not only financial firms but also regulators, investors, and other relevant parties, is essential to addressing the challenges facing our industry. I will actively seek input and feedback from all stakeholders to create a more inclusive and effective regulatory environment.

Finally, I am committed to leveraging technology and data analytics to enhance regulatory oversight and streamline compliance processes. The financial industry is rapidly evolving, and we must harness the power of technology to adapt and innovate, as we are doing at Private Client Service. I will work to ensure that firms have access to the tools and resources they need to thrive in this digital age while maintaining compliance with regulatory requirements.

Thank you for your consideration and your vote.

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| Experience: Private Client Services, LLC President | Charlotte, NC 7/2022 – Present |
| Private Client Services, LLC Chief Operations Officer | Charlotte, NC 5/2021 – 6/2022 |
| Alphastar Capital Management, LLC Chief Operating Officer | Cornelius, NC 11/2019 - 11/2020 |
| LPL Financial Senior Vice President, Service, Trading & Operations. | Charlotte, NC 2015 – 2019 |
| LPL Financial Vice President, Broker Dealer Support Services | Charlotte, NC 2011 – 2015 |
| LPL Financial Assistant Vice President, Broker Dealer Support Services | Charlotte, NC 2008 – 2010 |
| LPL Financial Director, Margin Department | Charlotte, NC 2007 – 2008 |

Optional Links:

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Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Randolph F. Pistor**

Title: **Chief Legal Officer**

Firm: **Sigma Financial Corp**

Candidate Biography and Personal Statement

I am a securities attorney with more than a decade of legal experience and 15 years of compliance experience. I hold multiple degrees from the University of Michigan where I studied law, finance, and mathematics. I have also earned the Chartered Financial Analyst designation and hold six FINRA licenses, including four principal licenses. I am licensed to practice law in Michigan.

In addition to working at a large Midwest law firm, I have spent the better part of my career as the in-house attorney and a senior-level compliance officer for affiliated independent broker-dealers located in Ann Arbor, Michigan. I enjoy working in the broker-dealer space due to its unique framework that continues to evolve and yield new opportunities. I find it especially fulfilling to help my colleagues and my organization creatively and ethically navigate an ever-expanding regulatory environment while simultaneously offering strategic advice to drive growth and innovation.

I am running for a seat on the Midwest Region Committee because I have the experience, ability, and commitment to professional integrity that are necessary for the role, including a deep understanding of industry and regulatory trends as well as other issues facing the securities industry. In addition to strong legal research and communication skills, I have a keen attention to detail along with the ability to take complex challenges and make them tractable. I believe my skills could be put to excellent use on the Committee by, among other things, offering informed and constructive input to FINRA staff regarding proposed policies and rule changes. Above all, I would find it rewarding to put my passion, legal and compliance training, and subject matter expertise to use by partnering with industry peers to accomplish the Committee's important mission.

I would be honored to represent the Midwest region on the Committee and would work diligently to respond to the needs and interests of member firms. I hope you will consider me worthy of the task and grant me the privilege of serving on the Committee by casting your vote in my favor. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/randypistor/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **John Szwagulak**

Title: **Chief Compliance Officer**

Firm: **Huntington Securities**

Candidate Biography and Personal Statement

I am honored to submit my candidacy for another term on the FINRA Midwest Regional Committee. Serving on this committee has been a privilege, and I am enthusiastic about continuing to contribute to its mission and objectives.

Over the past term, I have had the opportunity to witness the impactful work that this committee undertakes. From promoting investor protection to ensuring fair and transparent markets, our collective efforts have far-reaching implications. During my tenure, I actively participated in discussions and initiatives that have positively influenced the financial landscape in our region.

I have been the Chief Compliance Officer of Huntington Securities, Inc., since 2020 and previously was the Head of Institutional Compliance since 2016. Prior to Huntington, for two years I was a Vice President in the International Compliance Group of Wells Fargo & Company, where I led reviews of Wells Fargo's International Banking and Broker-Dealer locations. I also served for approximately seven years as a Vice President and Senior Compliance Manager for Institutional Brokerage within Bank of America Merrill Lynch's Global Banking and Markets division. My prior experience also includes positions as a Market Risk Manager with KeyBanc Capital Markets, and as a Brokerage & Investment Advisory Risk Manager with KeyBanc Capital Markets and McDonald & Co. and as a Compliance Examiner with National Association of Securities Dealers ("NASD").

I have spent my 20+ year career in financial services, from firms large and small, helping firms build compliance programs to meet the needs of our changing landscape. A solution for a large firm will not necessarily work for a small firm. My background within the retail brokerage industry and institutional is unique and gives me the perspective that most individuals do not possess.

My dedication to fostering a fair and equitable financial environment extends beyond committee meetings. I have actively engaged with industry professionals, seeking their input and feedback to inform our decisions. This collaborative approach has been instrumental in ensuring that our regional policies are effective and responsive to evolving market dynamics.

Looking ahead, I am excited about the opportunities and challenges that lie ahead for the financial industry. From emerging technologies to evolving market structures, there will be no shortage of issues to address. If reappointed, I am committed to continuing my service on the FINRA Midwest Regional Committee, bringing my experience, dedication, and passion to the table.

Finally, I am registered as a FINRA Arbitrator and a member of the FINRA Examination Committee for the Series 14 Compliance Official examination. I actively participate in SIFMA and the Midtown Regulatory Group. I currently hold the Series 3, 4, 7, 24, 53, 55, 66, 79 and 99 licenses.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/john-szwagulak/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Eric Wolfman

Title: Deputy CCO, Senior Vice President and Compliance Director

Firm: Keybank Capital Marke

Candidate Biography and Personal Statement

I have worked in the securities industry for almost 25 years. I have been employed at KeyBanc Capital Markets since 2011 having been recruited from New York City to bring my knowledge and experience in prior compliance programs. I am now also responsible for the overall compliance program having been promoted to Deputy CCO this past year. Prior to joining Key, my industry experience includes several senior compliance positions at Jefferies, JP Morgan, Credit Suisse and Citi Group. I was also the Chief Conflicts Officer at Citi Group Corporate and Investment Bank operating within the Mergers and Acquisitions Group advising and tracking conflicts within the complete organization.

Personal Statement

I have always been interested in participating regulatory oversight. Given my position within KBCM and my significant understanding of how firms operate and do business, I am confident I can add tremendous value to the committee. I know what drives registered reps, and what obstacles they face. I can come with real-time examples and situations to consider. The committee process is one of the best ways for firms to help improve the quality and effectiveness of regulation. When member firms provide regulators with honest feedback, balanced criticism, and insightful suggestions they can have a significant impact on regulatory practices. I want to be part of that dialogue and believe I can make a positive impact for the foreseeable future.

Having spent nearly 25 years as a compliance officer and as an industry member, I think I can provide a helpful perspective to the District 8 Committee. I've experienced the challenges of running compliance programs with all the complexities of a large broker-dealer, but on a scale and with a middle market focus that is more consistent with other small and midsized firms. Additionally, given my experience running compliance programs for several Investment Banking Departments, Equity Research Departments as well as having significant experience with compliance control rooms and core compliance functions, I believe I can be an excellent resource for the committee.

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Link to personal website, resume or CV:

Link to YouTube video:
