

Candidate Profile Form—District Committee Election

Candidate Name: Suzann LoCoco

Title: Vice President Compliance

Firm: CUSO Financial 

Candidate Biography and Personal Statement

I am currently vice president of Compliance at CUSO Financial Services, L.P. (CFS) and Sorrento Pacific Financial, LLC (SPF), two sister companies and broker-dealers serving customers across the U.S. I bring more than 21 years of investment services industry experience with financial institution, independent and insurance broker-dealers.

In my current position, I serve as a member of the CFS/SPF senior management team, helping to direct the overall growth and success of our companies, I manage the Compliance and Registration departments, and I oversee our firms' annuity product due diligence.

Prior to my current position, I have worked in other management positions in areas of compliance and branch development at LPL Financial, and earlier in my career served as a registered representative with Mass Mutual and MML Investor Services. The experience I have gained over the years gives me the ability to understand and take action on a variety of issues facing broker-dealers today.

With this industry experience combined with the relationships I have already built with FINRA staff and other industry advocates, I believe I am well positioned to be a strong voice supporting the causes of interest for broker-dealers.

Our industry is facing the most significant regulatory change in decades. Firms need specific guidance and thoughtful rulemaking to be able to serve clients and run efficient and profitable organizations. My extensive involvement with FINRA, SEC, and state regulators has given me a keen understanding of the value of uniformity and clarity in regulations, the benefit of information sharing between entities, and the impact of regulations on firms.

As a FINRA District Committee member, I would like to promote greater partnership between firms and regulators, and to convey the message to FINRA that most firms are trying to do what is in the clients' best interest.

I would be honored to serve our industry by representing constituents on the FINRA District Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

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Candidate Name: Patricia R. McCallop

Title: Senior Vice President and Chief Compliance Officer

Firm: National Planning
Corporation

Candidate Biography and Personal Statement

I am a legal and compliance industry professional with over 15 years of experience who holds the FINRA Series 7, 24, and 66 registrations. After graduating from Wellesley College and the University of Maine School of Law, I was admitted to the Maine State Bar in 1996 followed by admission to the North Carolina and Maryland State Bar Associations in 1997 and 2000 respectively.

I began my financial services career as an attorney in Baltimore, Maryland representing a financial services firm and its registered representatives in securities arbitrations. Following my work in private practice, I transitioned to a position as compliance counsel for a dually registered broker dealer and investment advisor, later becoming the firm's chief compliance officer.

Currently, I am the senior vice-president and chief compliance officer for National Planning Corporation ("NPC"). NPC is a full service independent broker dealer and registered investment advisor supporting over 1350 registered representatives nationwide. I am responsible for the strategic direction of the firm's compliance program, as well as fostering a culture of compliance among the firm's associates and affiliated representatives. In this role, I monitor and interpret federal, state, and SRO rules and regulations and oversee their practical application to the activities of the firm. Most recently, I have been actively involved in the analysis and development of firm policy changes necessary to comply with the US Department of Labor Fiduciary Rule.

In this regulatory environment, a thoughtful collaboration of individuals with differing perspectives is critical to ensure that the best interests of investors, registered representatives and member firms are represented and considered prior to implementing changes. The FINRA District Committee provides the forum for this exchange. I am confident that my experience has prepared me to advocate on behalf of the District 2 firms.

I appreciate your consideration and if selected will work tirelessly as a steward of investor protection while championing initiatives that support the continued growth of the financial services industry.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—District Committee Election

Candidate Name: Robert Molinari

Title: Chief Regulatory Affairs Officer

Firm: Commonwealth Financial Network

Candidate Biography and Personal Statement

Robert Molinari has worked the last twenty years in the financial services industry. His vast experience spans across different industry business models; large wire-house, midsized independent, and small branch businesses. He also has experience across several functional areas; trading, operations, wealth management, investment advisory, product, compliance, and regulatory relations.

In his current role as the Chief Regulatory Affairs Officer at Commonwealth Financial Network, Robert oversees the Firm's Regulatory Response team as well as the Supervisory Controls Unit, which is tasked with facilitating the Firm's 3120 testing program. As a primary point of contact for home office trading, operations, and product areas, as well as for the Commonwealth populace of independent advisors, Robert strives to stay abreast of the regulatory landscape and is attune to trends as well as regulatory challenges.

A primary function of Robert's day-to-day is one of educator. He possesses a working knowledge of the challenges facing firms and advisors and possesses the ability to apply knowledge and expertise to situations in order to develop solutions, policies and procedures.

Robert completed the FINRA at Wharton Certified Regulatory and Compliance Professional (CRCP) program, which is recognized as the securities industry's leading executive program for compliance professionals. He received his Bachelors of Science in Criminal Justice from Northeastern University and Masters of Business Administration from Babson College; and served as a Legal Specialist in the US Army reserves. Robert is currently serving on the Financial Services Institute's Compliance Council. He has also assisted in the creation of FINRA eLearning courses and has served as an industry panelist for the Financial Services Institute and the National Society of Compliance Professionals.

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Link to YouTube video: