

Candidate Profile Form—District Committee Election

Candidate Name: Robert Gaines

Title: Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

As Executive Director of the Arizona Complex for Morgan Stanley, I lead 253 registered individuals across our six branch locations, serving the wealth management needs of our more than 22,000 client households and the \$18 billion they have entrusted to us.

My nineteen years of industry experience in roles ranging from Financial Advisor to Complex Manager, gives me valuable perspective regarding the important work we do for our clients and the complex issues we face as an industry. My commitment to life-long learning and professional development led to my membership in the Investment Management Consultants Association (IMCA), and earning of my CIMA designation in 2002, something I have maintained through ongoing continuing education.

With sound judgment honed over my years of industry experience, the perspective gained working across diverse positions within the branch system, and a commitment to the application of lessons learned, I have served on the firm's Branch Manager Advisory Council, and two of its sub-committees.

If elected, I would bring that same judgment, perspective, and commitment to my service on the District 3 Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

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Candidate Name: Kenneth Schindler

Title: Chief Compliance Officer

Firm: Great West Financial

Candidate Biography and Personal Statement

I recently joined Great-West Financial as Chief Compliance Officer. I am in charge of Compliance for all of Great-West Financial's businesses including our Broker-Dealer GWFS Equities, Inc.

Prior to joining Great-West in April, 2016, I had a 29 year career at Prudential Financial based in Newark, N.J. where I held Compliance positions in Insurance, Asset Management, stock brokerage and retirement plan administration. I also spent 10 years in insurance and investment marketing.

FINRA SERVICE EXPERIENCE

- District 9 Committee (2008-2011)
- FINRA's national Independent Dealer/Insurance Affiliate (IDIA) Committee (2013-present)
- Industry panelist for disciplinary hearings run by FINRA's Office Of Hearing Officers (OHO)

I have a JD and MBA from Rutgers University and a BA from Vassar College. I am a Certified Financial Planner (CFP) and a Chartered Life Underwriter (CLU) and hold the series 7 and 24 registrations. I also completed FINRA's Certified Regulatory and Compliance Specialist (CRCP) program at Wharton.

While my work experience has been with large firms, I am familiar with the issues and concerns of smaller and mid-sized firms, through close working relationships with our selling partners and through my other FINRA service experiences.

I am new to Colorado and FINRA's District 3, and am very excited about meeting others in the industry here. If elected, I would enjoy the opportunity to share my experience and industry knowledge as an active participant on the District 3 Committee.

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Link to YouTube video:
