

## Candidate Profile Form—District Committee Election

Candidate Name: Kelly Anderson

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Title: Compliance Director

Firm: RBC Capital Markets

### Candidate Biography and Personal Statement

Kelly Anderson is Compliance Director at RBC Wealth Management, a division of RBC Capital Markets, LLC. Since 2004 she has been responsible for the compliance support related to the Correspondent and Advisor Services business channels which provide execution, clearing and custody services for independent broker-dealers and investment advisors. Ms. Anderson also supports the company's Operations groups responsible for retail back office functions. In her more than 25 years of industry experience Ms. Anderson has held various positions in the legal and compliance functions at both large and small broker-dealers and investment advisors. She earned her bachelors degree from the Carlson School of Management at the University of Minnesota and also has an associates degree in paralegal studies. Ms. Anderson represented large firms on the District 4 Committee in 2016 due to a vacancy. She has also served on the FINRA Regulatory Element Continuing Education Committee for 14 years and will join the FINRA Continuing Education Council in 2017. She holds her series 7, 22, 24 and 65 registrations.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—District Committee Election

Candidate Name: Patrick Dogan

Title: Director - Capital Markets and Operations Compliance

Firm: Edward Jones

### Candidate Biography and Personal Statement

#### Biography

Patrick Dogan is the Director of Capital Markets and Operations Compliance for Edward Jones in St. Louis, and is responsible for a compliance team that supports the firm's trading, research, product review, and operations areas as well as a team charged with conducting independent surveillance reviews for potential market abuse and adherence to various firm policies. He joined Edward Jones in November 2015.

Prior to Edward Jones, Patrick was with Sterne Agee in Birmingham, Alabama. His most recent role with Sterne Agee was the Director of Compliance with overall responsibility for the compliance programs of Sterne Agee's three FINRA registered broker-dealers, an SEC registered investment advisor, and an FCA registered broker-dealer. Patrick was also Chief Compliance Officer of Sterne, Agee & Leach, Inc., a full service regional securities broker-dealer supporting retail, institutional, and correspondent clearing business channels. Patrick joined Sterne Agee in 2005 as Regulatory Reporting Manager and Financial and Operations Principal.

Patrick began his securities industry career with Dain Rauscher in Minneapolis leading the firm's Operations Control department and later, its Operations Conversions department.

Patrick served as a large-firm representative on the FINRA District 5 Committee from 2012-2014 and on the FINRA Regulatory Advisory Committee in 2014. He currently holds Series 4, 7, 14, 24, 27, 53, and 63 licenses.

Patrick has a bachelor's degree in business administration with a concentration in finance from Virginia Commonwealth University.

#### Personal Statement

Though I am a large-firm candidate, I feel I would bring a unique perspective to the committee given the breadth of my experiences across various business models that include:

- Large, national firm with a retail focus
- Regional full service firm supporting a private client group, institutional fixed income, institutional equity, and investment banking
- Independent contractor model
- Clearing firm to include the needs of small firm clearing clients

I also bring perspective from having roles in compliance, operations, and regulatory reporting in my career.

Being a part of the dialogue with peer firm and FINRA leadership representatives on key and emerging industry topics is an energizing proposition and I consider the opportunity to represent my firm and other district member firms on this committee to be both a privilege and an honor.

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## Candidate Profile Form—District Committee Election

Candidate Name: Erik Karanik

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Title: Managing Director, Private Client Group - Wells Fargo Advisors Firm: Wells Fargo Advisors

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### Candidate Biography and Personal Statement

When I started in the industry 26 years plus ago, I did not envision garnering the vast and varied experience that would position me as an ideal candidate for a FINRA District Committee. I have crossed the functional lines of the financial services industry and have had roles ranging from Financial Analyst, Technology program sponsor, creator of Financial Advisor and Branch Manager compensation plans, a founding member of the Wells Fargo Advisors Conflicts Committee, Lead support for several mergers and acquisitions, and currently National Director of Field Operations.

Throughout all of these roles and experiences I have held true to the following values:

- what we do must be client focused, regardless of level or role;
- a keen sense of observation will allow me to identify trends in my firm as well as the industry;
- solutions that work for my firm would most likely also work for others (and the industry);
- a risk aware perspective coupled with honest dialogue and cross-functional collaboration is the best method for protecting both clients and the organization;
- risk and conflicts are always present, but it is the role of the organization to implement the appropriate controls and to understand and mitigate those conflicts.

In my current role I have most recently acted as a leader of the Credit Suisse transaction, which, coupled with my role of overseeing due diligence for recruiting experienced Financial Advisors, puts me at the intersection of understanding the impacts on clients when an FA decides to transition from one firm to the next. I also oversee Field Operations, which gives me perspective into the need to protect our client's assets and information at the same time making it easier for our clients to interact with us in an ever evolving digital world and cyber security as well as balancing the need for operational risk with ease of customer executions. Currently, I am a leader within WFA as we prepare and implement changes related to the Best Interest Standards that the Department of Labor has introduced for implementation in 2017. Finally, I was a representative with WFA to meet with FINRA earlier this year and elaborate on our thoughts around Culture as highlighted by Rick Ketchum's remarks last year as focus for FINRA. We are constantly reinforcing the need to have Culture that supports a "Raise Your Hand" perspective on Risk.

I believe this unique combination of strategy, client impact, awareness of the issues facing our industry, coupled with an ability to take complex situations and break them down to their simplest aspects make me an ideal candidate for this role on the FINRA District committee.

In conclusion, I would like to be considered for this role because of the exposure this opportunity presents. We are at an important turning point in our industry: Dodd-Frank, Department of Labor, the impact on digital advancements, to name a few headwinds facing our industry. To have the opportunity to be a part of how FINRA absorbs and navigates these changes will be an invaluable experience.

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## Candidate Profile Form—District Committee Election

Candidate Name: Mark Lasswell

Title: Senior Vice President / Chief Compliance Officer

Firm: Securities America 

### Candidate Biography and Personal Statement

I am the Chief Compliance Officer for Securities America, a registered broker/dealer and investment advisor headquartered in La Vista, Nebraska. I serve as a member of our firm's Executive Leadership Team, and I lead the firm's advisory and brokerage compliance functions. Prior to joining Securities America in January 2014, I spent over 25 years with Wells Fargo, including ten years as the CCO and COO for its capital markets brokerage division.

Serving on the FINRA District Committee for District 4 would leverage my previous industry and FINRA committee experience to help FINRA identify, properly vet, and prioritize industry and regulatory issues. I also enjoy providing feedback and input to FINRA on these issues. I like being involved with groups, committees, and initiatives that allow me to make a difference, and my participation on the FINRA District Committee will allow me to do that. Finally, I very much enjoy networking and collaborating with my industry peers, and I would welcome the opportunity to represent them and to share pertinent, proper information from my committee role with them.

I served on the FINRA District 4 Committee (2004 - 2006), including chairing the committee in 2006, the FINRA District 4 Nominating Committee (2007 - 2008), the FINRA Consultative Committee (2007 - 2009), the FINRA Technology Advisory Committee (2006 - 2008), and the FINRA Advisory Council (2006). I am also a former FINRA hearing panel member. I have previously been involved with several industry groups, including the Regional Bond Dealers Association Fixed Income Technology and Operations Committee, the Regional Operations Municipal Association, and the Securities Industry Committee of the Minnesota Society of CPAs.

I received my B.S. in Accounting from Saint John's University (MN). I also have an MBA from the University of Saint Thomas (MN). In addition to being an inactive CPA, I also hold FINRA series 4, 7, 24, 27, 53, 63, and 65 registrations.

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## Candidate Profile Form—District Committee Election

Candidate Name: Seth Miller

Title: General Counsel, SVP Risk Management

Firm: Cambridge

### Candidate Biography and Personal Statement

I have been with Cambridge since 2008 and my primary focus has been on managing risk in our increasingly regulated industry. I manage all internal and external legal affairs for Cambridge along with overseeing Cambridge's enterprise approach to risk management. My responsibilities also include executive oversight of the Compliance and Risk Assessment Departments while also providing legal and regulatory support and guidance to each Cambridge department. My legal specialization includes securities and investment advisory business, corporate governance, and litigations/arbitrations. I have been actively involved in various committees, task forces and/or working groups with the Financial Services Institute, Pershing LLC and Fidelity Clearing & Custody Solutions (formerly National Financial Services). My prior experience includes practicing law with the international law firm, Shook, Hardy & Bacon L.L.P. I earned a Bachelor of Science in finance and management from Iowa State University and a J.D. from the University of Iowa College of Law. I currently hold FINRA Series 7, 24, and 66 licenses and I am licensed to practice law before the Iowa and Missouri state bars.

I am applying for a seat on the District Committee to offer assistance to member firms and FINRA on the important issues that are brought before the Committee. I believe I can offer a unique and valuable perspective on many issues due to my role as an attorney, executive, and shareholder of a member firm. I am also a small business owner outside of the securities industry, which helps me understand and wrestle with the business needs and demands facing small business owners; this experience also helps me relate to the challenges facing many of the registered representatives who are affiliated with member firms.

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