

Candidate Profile Form—District Committee Election

Candidate Name: Kevin Dailey

Title: Regional Brokerage Manager - Wealth Brokerage Services

Firm: Wells Fargo Advisors

Candidate Biography and Personal Statement

Candidate Biography

I am the Regional Brokerage Manager of Wealth Brokerage Services for Wells Fargo Advisors, LLC. I manage over 30 financial advisors in my region. I have been in the industry since 1996 in a variety of roles from financial advisor to product wholesaler.

Statement

With 20 years industry experience, I feel I have a unique understanding of the challenges we face in our industry today. These difficult challenges require us to have many different points of view to make sure we are focused on meeting the needs of the clients we serve as an industry, as well as, our individual firms.

I bring a perspective as someone who has managed professionals in large metropolitan offices, smaller rural markets and internal sales desks for a product vendor. I also have the advantage of experience as being both a producer and a product wholesaler. Each opportunity I have had has been different and unique but faced many of the same challenges. Being able to bring a broad view to FINRA and to cultivate change will allow us to find the correct solution to the issues we face as an industry. We need to make sure we do not just find a quick solution, but the right solution.

I believe in effecting positive change for the industry through open and honest dialogue. We need to be able to look at an issue and listen to all views, both for and against, to make an informed decision on the direction we should take. Those decisions should benefit all member firms, both large and small and the investors. I am committed to listening to what everyone has to say so that we can make educated decisions, as well as to present a point of view that may have been overlooked previously.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

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Candidate Name: Jeffrey F. Freiburger

Title: Managing Director/Chief Compliance Officer

Firm: Robert W. Baird & Co. Inc.

Candidate Biography:

Jeff Freiburger has been at Baird since 1993. He has served as Baird's Chief Compliance Officer since 2002 and has over 35 years of experience in the securities business. Baird is an employee-owned, international financial services firm providing wealth management, capital markets, asset management and private equity services through offices in the US, Europe and Asia.

From 1981-1991 Jeff was employed at Blunt Ellis & Loewi, formerly a Milwaukee based regional broker/dealer, as Assistant Compliance Director, and from 1991-1993 at Kemper Clearing Corporation as the Director of Internal Audit.

Jeff served on FINRA's District 8 Committee from 2008-2011. Currently, he is a member of FINRA's Series 14 Exam Committee and was recently elected to the FINRA Continuing Education Council. He is also active with the Securities Industry Financial Markets Association, serving on their Compliance Committee and Regional Firms Committee. He has been an industry arbitrator and serves as a Hearing Panel Officer for FINRA Dispute Resolution. Jeff is also a Member of the Board of Directors and Treasurer for the Better Business Bureau of Wisconsin. In 2009, he was Corporate Chair for the JDRF Walk to Cure Diabetes in Milwaukee, WI.

Jeff is a 1981 graduate of the University of Wisconsin with a B.S. in Finance. He holds the Series 7, 9, 10, 14, 24, 53, 55, 63, and 66 Securities Industry Examinations.

Personal Statement on the Opportunity to Serve on the Board

I have been involved with many aspects of compliance and regulation in our industry for over 35 years. I feel strongly that this position is about representing the member firms in District 8 by listening to their input, understanding the effects of regulation and working closely with FINRA to help them understand the best way to create and effectively apply regulation.

I believe that good firms should get credit for the hard work they do to maintain their compliance culture in this complex world. I believe that strong partnerships with regulators are critical to the success of both regulators and those regulated. My multi-faceted experience with FINRA and within the industry at strong firms over the last 35 years will enable me to represent you well. I pledge to be loyal to the membership and to have their best interests at the forefront of any action I take as a Committee Member. I am open to contact at (414) 765-3636.

Candidate Profile Form—District Committee Election

Candidate Name: Catherine Galgano

Title: Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

I have 32 years of experience in Financial Services and 18 years in Branch Management which has included roles such as financial advisor, sales manager, branch manager and complex manager. I currently manage the Chicago West Complex comprised of 8 offices and 174 FA's in Illinois. In my role I am responsible for creating a culture of putting the client first, developing and growing the complex and charging our employees with acting with character and integrity. We are entrusted with managing +\$18B of our client's assets. We have a client focused culture that delivers advice through knowledge of our clients finances and goals. This is a relationship business and each day we work to grow our client relationships so we may understand them better and thus serve and advise them better.

Below is a list of some of my accomplishments:

- Obtained the CIMA (Certified Investment Management Analyst) certification from IMCA in 2003.
- Served on Morgan Stanley's Diversity Council and
- Served on the Branch Manager Advisory Council, and presently serving as the Co-Chair. The council partners with Senior Management to advise on potential policy/process initiatives and strengthen firm culture.
- Named to the 2016 Class of MAKERS at Morgan Stanley, recognizing women who are groundbreakers, innovators and advocates.

I believe I should be elected because my guiding principle throughout my career has been to do the right thing by the client. If the client is at the center of the relationship, and you ask yourself "is this right for this client", you will deliver the best advice you can for clients. We have a tremendous responsibility in serving clients, so I hold myself, my management team and my advisors accountable to that. I believe that marrying my career experience from my many positions and my belief of serving clients, I will be a valuable member to the committee.

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Link to YouTube video:

Candidate Profile Form—District Committee Election

Candidate Name: Mark E. McNulty

Title: VP, Compliance

Firm: SII Investments, Inc.

Candidate Biography and Personal Statement

I am a compliance industry professional with 20 years of experience in the securities industry. The majority of that time was spent in various compliance and supervisory positions with insurance affiliated, independent contractor firms.

In my current role as Vice President, Compliance for SII Investments, Inc., I am responsible for assisting the CCO in the management of the firm's compliance efforts. I provide strategic direction and leadership for the Registration, Advertising Review, Surveillance and Compliance Support Services units. These units are responsible for a broad range of support efforts including; complaint handling, litigation and arbitration responses, regulatory reporting and responses, continuing education oversight, outside business activities, prospective representative review, etc.

Prior to my roles in the compliance and supervision fields, I began my career in financial services by working as a registered representative. After initially registering with a broker/dealer in 1996, I ultimately settled on a dual role as a bank employee and registered representative with another broker/dealer from 1996 through 1999. This opportunity allowed me to experience the challenges of a career selling financial service products. I understand the daily issues and successes that financial representatives experience in this noble career. In addition, I learned the unique compliance implications of offering broker/dealer services to bank customers and this peaked my interest in the compliance side of the business.

This interest led me to leave the sales side of financial services in 1999 to pursue an opportunity at FINRA's Chicago District Office. My time working at FINRA solidified my interest in a career in compliance and proved to be an invaluable learning experience. From performing on-site examinations of member firms of all sizes and types to addressing investor complaints, I learned at the side of knowledgeable, experienced examiners and FINRA leaders. I also never missed an opportunity to learn from the member firms I was examining. This background prepared me for a move to a broker/dealer firm in 2003. This move began a 13 year career working in ever increasing roles of responsibility in broker/dealer compliance and supervision, leading to my current role as Vice President, Compliance with SII Investments, Inc.

I feel this unique background, experiencing the financial services career from all sides (sales, internal compliance and regulatory compliance), allows me to truly see an issue from all sides. Personally, this trait has served me well in my career as it has allowed me to remain objective and unbiased in my approach. You will find me to be an honest, forthright person who appreciates approaching an issue from a common-sense perspective.

I believe that collaborative, honest dialogue between the self-regulatory body and member firms leads to productive regulation. It is productive regulation, not simply regulation for the sake of "doing something", which enhances the trust and protection of the investing public. I am committed to being the voice of reason, to do everything in my power to see common sense prevail, and to ensure that all sides of an issue are fully vetted.

Thank you for your consideration.

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