

## Candidate Profile Form—District Committee Election

Candidate Name: Steven Jafarzadeh

Title: Managing Director, COO & Partner

Firm: Stonehaven LLC

### Candidate Biography and Personal Statement

Steven Jafarzadeh has nearly 20 years of experience in the financial industry, and for the past decade Mr. Jafarzadeh has worked in a principal capacity as the Chief Compliance Officer for small member firm located in FINRA's District 10 (NYC). Mr. Jafarzadeh has served as the point person for all regulators including FINRA, the SEC, the NFA and the MSRB inclusive of managing all of the examinations accordingly. Mr. Jafarzadeh has been a frequent speaker at industry events including, most recently, the New York Compliance Outreach Program for Broker Dealers which was held in April 2016 where he spoke as the small firm representative on the event's first panel. Mr. Jafarzadeh is a Chartered Alternative Investment Analyst (CAIA), and a Certified Regulatory & Compliance Professional (CRCP) as designated by the FINRA Institute at the Wharton School of the University of Pennsylvania. Mr. Jafarzadeh is also a member of the Board of Directors for the Third Party Marketers Association and currently serves as the Director of Communications for the Regulatory Committee following his previous role as Chair of the Regulatory Committee.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

## Candidate Profile Form—District Committee Election

Candidate Name: Richard A. Ward

Title: Chief Compliance Officer

Firm: Exotix USA, Inc.

### Candidate Biography and Personal Statement

Richard A. Ward started his career in the securities industry as a Staff Examiner at FINRA ("formerly known as NASD) in 1988. Mr. Ward continued working at the NASD until 1994, and rose to the ranks as a Senior Compliance Examiner. During his tenure with the NASD, he conducted sophisticated investigations of customer complaints, termination for cause, notice of disciplinary action, and selective office reviews of member firms.

After leaving FINRA, Mr. Ward went on to work at Chase Investment Service Corporation ("CISC") in 1994 through 1999. During this time frame, Mr Ward established the first formal audit program for the entire NY bank branch network, for all registered financial consultants. He also managed the audit program which encompassed a review of trading practices, internal controls and operational systems procedures.

After leaving CISC, he went on to working at National Australia Bank in a dual capacity as Chief Compliance Officer of the broker dealer, and Head of Operational Risk for the New York branch office. Mr. Ward worked at National Australia Bank for approximately 14 years, and enjoyed the experience of working at international organization and dealing with international regulators. After leaving NAB, Mr. Ward had several senior level consulting projects with several top tier investment banking Institutions. Currently Mr. Ward is working as a Chief Compliance Officer/ Chief Financial Officer for Exotix USA, Inc in NYC. His current firms transacts in equities and fixed income securities in frontier markets. Exotix USA, Inc.'s, parent currently resides in the United Kingdom.

Mr Ward has enjoyed a vast and diverse experience in the capital markets compliance arena, and welcomes the opportunity in working with other security industry professionals on the District Committee. Mr. Ward has worked in the securities industry for over 20 years in a licensed capacity.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

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Candidate Name: \_\_\_\_\_

Title: \_\_\_\_\_

Firm: \_\_\_\_\_

### Candidate Biography and Personal Statement

I am currently the General Counsel and Director of Compliance at WiseBanyan Securities LLC, as well as our affiliated registered investment advisor, WiseBanyan Inc. WiseBanyan Inc. is a digital financial advisor offering low cost advisory and financial planning tools for our clients. Our goal is to democratize investing for everyone.

As a small firm representative on the District 11 committee, I will advocate zealously for the unique interests of small firms. I have a strong understanding of the brokerage and investment industry from my diverse professional experience.

My diverse background includes:

- \*FINRA arbitration representing broker dealers in industry and customer disputes
- \*SEC Office of Compliance Inspections and Examinations
- \*In-house counsel at a global registered investment advisor
- \*Regulatory compliance consultant for investment advisor, dually registered broker-dealer and investment advisor

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Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_