

My name is Matt Rothchild. I am the Compliance Officer for a dual registered firm called EFS Advisors based in Cambridge, MN.

I am running for District Committee out of my profound concern over the direction our industry appears to be headed. The financial services industry is at a major crossroads, on the cusp of major transformation. Yet, in these times of earth-shattering change that will supposedly improve the industry, vast gulfs in perception continue to exist. Despite change intended to improve the industry, I still predict an industry that continues to be pilloried by the willfully ignorant in government, media, and the public. Despite new rules that ostensibly will enhance transparency and reduce opacity in the industry, I still predict an investing public unaware of the rules played by representatives, firms, and regulators beyond the most facile of descriptions. These phenomena, in spite of even the most exacting and eloquently-written rules and regulations, have proven to be enormously destructive and will continue to shatter careers and ruin lives as long as these conditions persist.

As someone with firsthand experience with FINRA's disciplinary process and knowledge of its potential, I know the high stakes and consequences involved with every single disciplinary action and the wisdom such proceedings demand. As a rostered member of FINRA's Board of Arbitration, I understand the importance and value of finding the truth in the midst of situations that aren't always clear cut, but are always emotionally and professionally taxing.

I seek your vote out of concern for the industry and would appreciate your support.