

Candidate Profile — District Committee Election

Candidate Name: Joseph Mendola

Title: Chief Compliance Officer

Firm: Siebert Brandford Shank & Co., LLC

Candidate Biography and Personal Statement

My name is Joseph Mendola. I have been a Chief Compliance Officer for various small firms since 1997. I hold the Series 4, 7, 8, 14, 24, 27, 55, 63, 65 and 79 licenses. Through the years, I have worked diligently to understand the rules that affect our industry and to implement them in a practical and useful way.

I do not have a fancy website or a slick YouTube video. I offer myself as a candidate for a District 10 Committee seat with humility and standing only on my background and my experience.

I began my career on Wall Street in 1997 at Wall Street Access. In 2000, I moved to the Nikko Securities Co. International Inc. Our office was on the 79th floor of 1 World Trade Center. New York City had a primary election on the morning of 9/11/01 and I stopped on my way to the office to vote. Voting saved my life as the first plane had already hit the building by the time I got to the office. I stood across the street and watched the horrible scene unfold. It was an experience that changed my life and instilled in me a unique understanding that our industry is actually quite small and that we need to work together to ensure that fair and equitable principles are applied equally to all. In 2007, I moved to Magna Securities Corp. From 2010 through 2014, I was the Chief Compliance Officer for M.R. Beal & Company. In 2015, I began my current position at Siebert Brandford Shank & Co., LLC.

Prior to my work in the industry, I graduated third in my class from Fordham University. I am also a graduate of Columbia University School of Law and a member in good standing of the Bars of the States of New York, New Jersey and Florida.

Should I be fortunate enough to win the election, my goal would be to bring a small firm prospective to the Committee. Having managed numerous FINRA audits, I know the frustrations that come with such an endeavor. Having filed numerous CMAs, I know the bureaucratic entanglements that one must overcome in order to move forward with a change in membership. Having submitted numerous Form BDs, I know the intricacies of FINRA form filings and the best ways to navigate them. It is these experiences that I can bring to the Committee and which will assist me in aiding in its work.

I ask for a chance to serve so that I may bring a practical prospective to the Committee and its work. I promise not only to work hard, not only to do my best to serve with competency and integrity but also to diligently work towards a better and more efficient regulatory environment for small firms and the entire industry.

Thank you.

Joe Mendola

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____