

District 2 – West Region Candidates

- Robert (“Rob”) Jones, Director, Compliance Department, Sorrento Pacific Financial, LLC
- Audrey McMahon, Chief Operating Officer, Ares Investor Services LLC

Candidate Profile Form—Regional Committee Election

Candidate Name:

Title:

Firm:

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Audrey McMahon

Title: COO

Firm: Ares Investor Services

Candidate Biography and Personal Statement

I am running for a seat on the West Region District Committee. In 2018 I joined the Committee to fill the remaining term of a member that resigned. I have found my term to be a great opportunity to give insight to FINRA on the various issues Firms face, such as rule changes and branch exams.

I started in the securities industry in 1993 and have worked Firms of varying sizes, from very small to very large, including the launch of two Firms. I have acted in varying roles such as RR, Supervisor and branch auditor, and several roles in compliance and operations. Because of the experience gained in these roles, I have been able to present real-life scenarios that illustrate how certain FINRA proposals may not achieve the intended results or the unintended consequences that may occur. Having worked in Operations, and being very solutions- and detail-oriented, I feel that some of my suggestions have actually been well received by FINRA.

Membership on the committee affords an opportunity to convey such things as the burden that new fees and rules can impose on firms, and the strain of complaints and arbitrations. As a committee member, I actively participate in pilot programs, meetings and round table discussions so that the perspective of Firms are well demonstrated. I would like to continue as a member of the committee and would appreciate your vote!

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