

District 2 – West Region Candidates

- Michael Kane – Managing Partner, Kane & Company d.b.a. for TransactionDrivers LLC
- Mark Quinn – Director of Regulatory Affairs, Cetera Advisor Networks, LLC/Cetera Financial Group
- Ann Robinson – Chief Compliance Officer, Farmers Financial Solutions, LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Michael Kane

Title: Managing Partner

Firm: Kane & Company

Candidate Biography and Personal Statement

Why Am I Running? 33 years I observed FINRA (and the NASD before it) evolve. I wrote our firm's initial application and have been Chief Compliance Officer (and every other officer) for 29 years. I adapted firm compliance to new regulatory initiatives: "cybersecurity," "social media," "anti-money laundering," "business continuity," "electronic message preservation," all the way back to "Y2K disaster preparation." 70+ transactions with my own firm, plus transactions for nationally recognized mid-sized firms: mergers, acquisitions, divestitures, restructuring, public and private offerings of equity, debt and hybrid securities for public and private companies. That required complying with every SEC/FINRA rule and assuring accurate accounting for FOCUS reporting and 29 annual independent financial audits. I believe that I have some useful insight to contribute to both the regulator and the regulated, to give back in the context of now resolving today's regulatory concerns in an industry that has been very good to me.

Michael Kane, Ph.D., J.D., founded Kane & Company in 1991 and is the firm's Managing Partner. He has guided its 29-year distinguished track record advising sellers and buyers of public and private companies, issuers of publicly traded and private securities, companies executing capital markets strategies for growth, and companies that can be better positioned, or restructured, to increase their value to shareholders.

Earlier, Mr. Kane headed the Technology Investment Banking Group at Oppenheimer & Co., Inc. (now CIBC World Markets), having entered investment banking in New York with L.F. Rothschild, & Co., Inc.

Mr. Kane

- practiced M&A, corporate, securities and computer law at the firm of Irell & Manella in Los Angeles.
- joined as the 6th staff member a subsidiary of Hughes Aircraft Company that became DirecTV.
- Served as Project Leader in the Systems Sciences Department of The Rand Corporation, advising the US Government on strategic military command, control, communications and intelligence matters.

Mr. Kane earned his B.A. from the University of Wisconsin – Madison and his M.A., Ph.D. and J.D. degrees from UCLA. He won:

- the American Jurisprudence Prize in Contracts
- a UCLA Regent's Graduate Studies Fellowship and
- a Ford Foundation International Security Fellowship.

Mr. Kane is a veteran of the U.S. Navy serving with the 2nd Fleet (Atlantic) and 6th Fleet (Mediterranean).

Dr. Kane has served on the Boards of Directors of NYSE and NASDAQ listed public companies; he holds Series 24, 7, 79 and 63 registrations.

Dr. Kane has contributed to SEC Rule-Making Proceedings governing Fairness Opinions issued in connection with public securities transactions. He has also designed, tested, executed and proven the value of an innovative role for an "independent" underwriter in public securities transactions to position and realize maximum valuations and serve as the issuing company's proponent in the process of planning, preparing and project-managing all types of public offerings of securities. The "Independent Underwriter™" role has since been adopted and fielded by other independent securities firms on behalf of their securities-issuing clients.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Mark Quinn

Title: Director of Regulatory Affairs

Firm: Cetera Advisor Network

Candidate Biography and Personal Statement

I am the Director of Regulatory Affairs for Cetera Advisor Networks, LLC, a FINRA member firm, and Cetera Financial Group, which is the corporate parent of a group of broker-dealers and Registered Investment Advisers (RIAs). Our broker-dealers as a group have a total of approximately 7,500 representatives located in all 50 states. We serve a client base that consists primarily of retail customers.

I have worked in the securities industry for more than 25 years, serving in senior positions in legal, compliance, and risk management departments for several broker-dealers. In my current role, my primary responsibility is to manage the firm's relationships with regulatory agencies, including advocacy and outreach to both regulators and legislators. I also have responsibility for a team that handles examinations and other interactions with the SEC, FINRA, and state securities and insurance regulators. In addition to my responsibilities at Cetera, I have served as a member of the FINRA West Region Committee and as Chair of several standing committees at industry organizations such as the Financial Services Institute and the Insured Retirement Institute. I have experience in virtually all aspects of the securities business and understand how the industry and the regulatory framework interact.

The securities industry is at something of an inflection point. Fintech and other new business models are fundamentally changing relationships between broker-dealers, markets, and customers. The demographics of the U.S., particularly the aging of our population, will create new risks and opportunities for both financial professionals and investors. Regulatory initiatives including SEC Regulation Best Interest and the DOL fiduciary rule will have equally significant effects, including encouraging many financial advisers to consider dropping their registrations with FINRA members and operating solely as RIAs. All of these developments will have profound effects on how financial advice is delivered and the role of broker-dealers and financial professionals in providing it.

Most FINRA member firms agree on the need for responsible regulation and monitoring of our conduct, but many disagree about how policies should be formulated and applied. The question is not if there is a need for regulations or standards, it is about maintaining a thoughtful process for adoption of standards that strikes the appropriate balance between investor protection and freedom of choice. FINRA plays a crucial role in defining how regulation of financial professionals is developed and applied to market participants and investors, but regulatory agencies do not and cannot operate in a vacuum. FINRA needs input from industry representatives who understand the practical effects of regulatory initiatives. Regulation affects different firms and business models in different ways, and it is important that the Regional Committees have representation from member firms of all types and sizes. This process works best when it is performed by industry representatives who have significant experience and perspective about the business and how regulation works in the real world. I have contributed to this effort in the past and believe that I can offer a valuable voice going forward.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Ann Robinson

Title: Chief Compliance Officer

Firm: Farmers Financial Services 

Candidate Biography and Personal Statement

With over 20 years' experience as a senior compliance professional, Ann has deep expertise in financial services operations, compliance, and compliance technology. In 2018 Ann joined Farmers Financial Solutions, LLC as the Director of Operations and transitioned to Chief Compliance Officer in January 2020. In previous roles, Ann made significant contributions to the compliance tech industry during her employment with RegEd in roles including Business Development and Product Management. Prior to joining RegEd in 2012, Ann was a Senior Compliance Manager for Morgan Keegan & Company, Inc. where she was responsible for the implementation of firm element, continuing education, and associated learning programs and managed the Licensing and Registration department. Ann also had a key role in implementing technology to automate various compliance functions including the firm's conflicts of interest program. Ann holds a Bachelor of Science degree from Samford University in Birmingham, Alabama and Masters of Business Administration degree from the University of Alabama in Birmingham, AL. She also holds Series 7, 66, 24, 14 securities licenses and a California Insurance License. Ann holds the Securities & Insurance Licensing Association Fellow (SILA-F) and Certified Regulatory Compliance Manager (CRCM) designations.

Ann is also an active member in multiple industry associations including FSI and NSCP. She serves on the Securities & Insurance Licensing Association (SILA) Foundation board as the Public Works and Services Trustee. The Foundation provides access to educational opportunities and scholarships for current and aspiring insurance licensing and securities registration professionals.

I am running for a seat on the Regional Committee to maintain active engagement in the securities industry and provide insight to FINRA staff based on my current role as a Chief Compliance Officer and my prior roles in the industry related to compliance technology.

Optional Links:

Link to personal website, resume or CV: [linkedin.com/in/ann-robinson-a0675222](https://www.linkedin.com/in/ann-robinson-a0675222)

Link to YouTube video:
