

District 8 – Midwest Region Candidates

- Stephen Berkeley – Chief Compliance Officer & Regulatory Counsel, Loop Capital Markets LLC
- John Szwagulak – Chief Compliance Officer, Huntington Securities, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: Stephen Berkeley

Title: Chief Compliance Officer and Regulatory Counsel

Firm: Loop Capital Markets 

Candidate Biography and Personal Statement

Biography

Stephen Berkeley serves as Chief Compliance Officer and Regulatory Counsel of Loop Capital Markets LLC and as Chief Compliance Officer of MJE-Loop Capital Partners, LLC, an SEC registered investment advisor. Prior to joining Loop Capital in 2008, Mr. Berkeley spent 9 years in private legal practice representing broker-dealers and investment advisors in arbitrations, regulatory investigations and on securities industry compliance matters. Mr. Berkeley started his career as an enforcement attorney with the Securities Division of the Arizona Corporation Commission where he investigated and prosecuted securities enforcement actions against broker-dealers and investment advisors.

He is a licensed attorney in Illinois and Arizona and holds 7, 24, 53, 63, 79 and 87 licenses. Mr. Berkeley earned his Juris Doctorate from Chicago-Kent College of Law and earned a Bachelor of Art's from Hamilton College. He serves as a firm representative to both SIFMA and the Bond Dealer Association and frequently presents on compliance topics at seminars and continuing legal education programs.

Personal Statement

It has been an honor to serve as a District 8 representative on the Midwest Regional Committee for the past two years and I would like the opportunity to continue to represent the District for an additional term. In this role, I have been able to provide the unique perspective to FINRA as a representative of an institutional broker-dealer with a focus on municipal and corporate investment banking, fixed income and equity sales and trading with institutional investors. In my current role, I have had broad exposure to regulatory and business issues impacting broker-dealers and have used my position as a committee member to inform and advise FINRA Staff regarding the challenges firms face in the current regulatory environment.

I look forward to the opportunity to again serve as a representative on the Midwest Regional Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: John Szwagulak

Title: CCO

Firm: Huntington Securities 

Candidate Biography and Personal Statement

I am the Chief Compliance Officer of Huntington Securities, Inc., which is the result of the integration of Hutchinson, Shockey, Erley & Co. and the Institutional colleagues of The Huntington Investment Company. Upon integration in February 2020, the company was renamed Huntington Securities, Inc. Since 2016, I was the Head of Institutional Compliance for Huntington Investment Company, and sat on multiple committees including Capital Markets Risk, Order Routing Execution, among others.

Prior to Huntington, for two years I was a Vice President in the International Compliance Group of Wells Fargo & Company, where I led reviews of Wells Fargo's International Banking and Broker-Dealer locations. I also served for approximately seven years as a Vice President and Senior Compliance Manager for Institutional Brokerage within Bank of America Merrill Lynch's Global Banking and Markets division. My prior experience also includes positions as a Market Risk Manager with KeyBanc Capital Markets, and as a Brokerage & Investment Advisory Risk Manager with KeyBanc Capital Markets and McDonald & Co. and as a Compliance Examiner with National Association of Securities Dealers ("NASD").

I have spent my 20+year career in financial services, from firms large and small, helping firms build out compliance programs in order to meet the needs of our changing landscape. A solution for a large firm will not necessarily work for a small firm, and vice versa. My background within the retail brokerage industry and institutional is unique and gives me the perspective that most individuals do not possess. I am confident I can represent the needs of the broker dealers within our region and will be an active contributor to the FINRA Midwest Regional committee.

I am registered as a FINRA Arbitrator and actively participate in SIFMA and the Midtown Regulatory Group. I currently hold the Series 3, 4, 7, 24, 53, 55, 66, 79 and 99 licenses.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/john-szwagulak

Link to YouTube video:
