

SFAC South Region Seat Candidates

- Jason Christian – Chief Compliance Officer & General Counsel, Capital Institutional Services, Inc.
- Melinda G. LeGaye – President & Chief Compliance Officer, Moody Securities, LLC
- Nathan Lewis – President & Chief Executive Officer, Security Capital Brokerage, Inc.
- Carrie Wisniewski – Chief Executive Officer & Founder, Bridge Capital Associates, Inc.

Jason Christian

Candidate for FINRA Small Firm Advisory Committee

Biography

Jason Christian has served as the Chief Compliance Officer and General Counsel for Capital Institutional Services, Inc. ("CAPIS") since 2012. During his tenure, he has been responsible for the development and implementation of all firm compliance procedures, as well as heading the firm's legal department.

CAPIS is a Dallas, Texas based broker-dealer with 47 registered representatives. The firm, which offers high-touch global equity, fixed incomes, transition management and derivatives trading, also specializes commission management services for its institutional-only customer base.

Prior to joining CAPIS, Christian worked in private practice focusing on insurance/civil defense and representing registered firms in FINRA arbitrations.

Christian currently holds the Series 3, 4, 7, 14, 24, 52, 53 and 63 Securities Registrations, and received J.D. from Widener Law School in 2007 and BA at Stephen F. Austin in 2002.

He believes he would be an outstanding candidate for this position as his legal/compliance experience, along with CAPIS's firm size and numerous business lines, provide him a unique perspective to appreciate and ardently protect the interests of Small Firms.

Candidate Profile Form—SFAC Election

Candidate Name: Melinda ("Mimi") G. LeGaye

Title: President and CCO

Firm: Moody Securities, LLC

Candidate Biography and Personal Statement

Melinda (Mimi) G. LeGaye, serves as President and CCO of Moody Securities, LLC, a FINRA small member firm and as FINOP and a registered principal for RCX Capital Group, LLC. In addition to her roles with Moody Securities and RCX Capital Group, LLC, Mimi has served as President and founder of MGL Consulting, since 1984. Prior to forming MGL in 1984, Mimi served as CCO of Horne Securities Corp. a small broker/dealer which was formed to distribute real estate private placements. During the 1980s, she served on the Regulatory Affairs Committee and as president of the local chapter of the Real Estate Securities & Syndication Institute which was an affiliate of the National Association of Realtors. Mimi continues to be actively involved with ADISA (formerly Real Estate Investment Securities Association).

Mimi has primarily consulted with small and mid-size broker-dealers, serving as president, CCO, FINOP, General Principal, and Municipal Principal for various broker/dealers since the mid-1980's. She has extensive experience working with a wide variety of firms including retail, institutional, international, investment banking and wholesale firms. As a municipal principal and consultant, she has worked with small minority enterprise broker-dealers which were involved in bond underwritings, capital raising and financial advisory activities. As a consultant, Mimi is an advocate for small broker/dealers and works with FINRA small firms to strengthen their compliance programs and to improve their processes in order to mitigate their regulatory and civil risks. As President, CCO, and small business owner, Mimi has an in-depth understanding of the challenges FINRA small firm members face on a day-to-day basis. She understands the struggles small firms have to balance their ever-growing compliance obligations, the needs of their customers, and the pressures of growing their business against limited internal and financial resources.

Mimi holds the SIE, Compliance Officer and Investment Banking Principal registrations, as well as the Series 7, 24, 27, 53, 63, 79 and 99 registrations. She previously held the Series 22, 39 and 3 registrations. Mimi currently serves as a Small Firm Member on FINRA's SE Regional Committee and is a member of SMARSH's Client Advisory Board. She received her BBA from Sam Houston State University.

An advocate for small broker-dealers and sensitive to the compliance, operational and regulatory challenges they face, she has spoken at numerous industry seminars and compliance programs over the years on topics ranging from supervision of independent brokers; surveillance using exception reports; compliance testing for small firms; product due diligence; and most recently at the FINRA Small Firm Conference in 2018 (Outside Business Activities and Private Securities Transactions), FINRA Annual Conference in 2018 (Information Security Panel), the FINRA Cybersecurity Conference in 2018, the FINRA Annual Conference in 2017, and the SMARSH 2016 Connect Conference (Building a Culture of Compliance) held in December 2016. Mimi has served as a panelist at their 2019 SMARSH Connect Conferences in Dallas, Chicago and New York.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: Nathan Lewis

Title: President & CEO

Firm: Security Capital Broker

Candidate Biography and Personal Statement

My name is Nathan Lewis. I serve as president and CEO of Security Capital Brokerage, Inc. (SCB). I write to ask for your support in the upcoming small advisory committee election for the South Region and to outline my qualifications for your consideration. As a native of Macon, Georgia, I received a BBA in risk management from the University of Georgia, concentrating in actuary science. I graduated with an MBA with the highest honors from Clark Atlanta University. During that time, I was inducted into the International Honor Society Beta Gamma Sigma. I am also a graduate of AIMSE's marketing and investment management program at the University of Pennsylvania – Wharton Institute of Executive Education.

In light of my 20 years of experience with capital markets and public finance and demonstrated leadership expertise, I am confident that I am a unique fit for this position. While at Security Capital, for example, I led the firm ' s overall strategic direction, including managing compliance, supervising operations, and interfacing with regulators during regular cycle exams. My securities career began in sales and trading at Jackson Securities, a company led by the late former three-time mayor of Atlanta, Georgia, Maynard Jackson. Later I left to lead Security Capital, which is a registered FINRA member and certified minority business enterprise (MBE) with the U.S. Department of Transportation (DOT), focused on securities brokerage and investment banking services.

I have represented the firm in investment banking and securities brokerage services for major corporations, tax-exempt bond issuers, institutional pension plans, and asset managers. Under my leadership and strategic direction, I diversified the firm ' s products and institutional equity trading services, including institutional fixed-income trading, public finance investment banking, and debt capital markets underwriting. Furthermore, I hold several pertinent licenses, including FINRA Registration Series 7 (general securities), Series 24 (general securities principal), Series 53 (municipal securities principal), Series 63 (uniform securities state law), Series 79 (investment banking representative), Series 86/87 (research analyst qualification), and Series 99 (operations professional).

As an active community volunteer, I have a passion for financial literacy, literature, and diversity and inclusion initiatives. I am a member of the CFA Institute, the CFA Society Atlanta, former treasurer of the National Association of Securities Professionals – Atlanta Chapter, and The Robert Burns Club Atlanta. I also serve on the board of directors for Zoo Atlanta, Communities in School, and the Georgia Council on Economic Education. I will work tirelessly to represent small firms in the South Region to ensure that the appropriate guidance is provided to FINRA regarding initiatives that have an impact on small firm members. I will also work with full transparency and efficiency. I strongly believe that my leadership and expertise can add value to the committee and again ask for your support. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: Carrie Wisniewski

Title: Chief Executive Officer & Founder

Firm: Bridge Capital Associates

Candidate Biography and Personal Statement

Carrie Wisniewski is a former NASD Senior Examiner and currently a small b/d owner and compliance consultant with over 35 years of industry experience. Carrie holds numerous industry designations including Certified Fraud Examiner, Certified Financial Crimes Specialist, Certified Regulatory Compliance Professional, Certified Securities Compliance Professional and Certified Financial Planner™. She also maintains several FINRA licenses including the 4, 7, 24, 27, 28, 53, 63, 79 and 99 and was recently elected by her peers to serve a 3rd term on FINRA's South Regional Committee.

Carrie was a broker in the 1980s and went on to be employed by Merrill Lynch in the compliance department prior to her employment at the NASD (n/k/a FINRA). She is currently a member of the Forensic Expert Witness Association and the National Society of Compliance Professionals, where she serves on the Broker-Dealer Forum.

Carrie has served as Founder and President of B/D Compliance Associates, Inc. for over 26 years, where she offers her broker/dealer and registered investment advisor clients the industry expertise she has gained from her unique regulatory and street-side experience.

In 2007 Carrie founded Bridge Capital Associates, Inc., a FINRA member broker/dealer focused on investment banking and M&A transactions. The firm currently has over 40 registered representatives nationwide. Carrie serves as Chief Executive Officer.

As a member of the Small Firm Advisory Council, Carrie will continue to be a vocal advocate for Small Firms, the largest subset of FINRA members, but often the most overlooked. She is keenly aware of the compliance challenges that face her constituents in time and money. Carrie wants total transparency of FINRA's financial statements at the same level of granularity that members are required to file with FINRA. She is also deeply concerned over increasing disciplinary actions and fines levied against small firms for matters that don't promote market integrity or investor confidence.

Carrie understands that if small firms are regulated out of existence, the liquidity of the capital markets at large is very much at risk. The brokerage industry should not be allowed to become Too Big To Fail.

Optional Links:

Link to personal website, resume or CV: <https://www.bd-compliance.com/uploads/2020/08/bd-compliance-cew-c>

Link to YouTube video:
