

District 2 – West Region Candidate

- Ken Muraoka, SVP, Head of Compliance Shared Services, Cetera Advisor Networks LLC

Candidate Profile Form—Regional Committee Election

Candidate Name: Ken Muraoka

Title: Senior Vice President and Head of Compliance Shared Services

Firm: Cetera Advisor Network

Candidate Biography and Personal Statement

Thank you for taking the time to read my personal statement. I am pleased to have the opportunity to run again for the District Committee, previously serving in District 7. I am proud to say I previously served on the District Committee from 2012-2014. I have been in the securities business since 1998 and have served in various management capacities in both Operations and Compliance in multiple firm types, including independent, Insurance, and an RIA-platform provider.

I am a graduate of Vanderbilt University (BA, 1993), and also hold my Series 7, 24, 27 and 99 registrations. I completed the FINRA Certified Regulatory and Compliance Professional program at the FINRA Institute at Wharton and have kept my continuing education requirements current for both my registrations and the CRCP designation.

I have had a long and varied career, starting in the business as a tax and government reporting analyst at JC Bradford & Co, and moved to LPL Financial in conjunction with their self-clearing initiative. There, I was responsible for many functions within Operations, including Tax Reporting, Variable Annuity Trading, Alternative Investment Operations, Cost Basis and more. After taking a leadership role at Mass Mutual's broker-dealer, I moved to Compliance with AIG Advisor Group. There, I ran multiple shared services departments including Branch Exams, Surveillance, and AML and eventually became Network Chief Compliance Officer for AIG Advisor Group. I moved to Charles Schwab Advisory Services in charge of Risk and Controls, and have been at Cetera Financial Group as Head of Shared Services Compliance since 2015. At Cetera, I am responsible for Surveillance, Advertising Review, Enterprise Risk Management, AML and Complaints/Regulatory Inquiries. I believe my broad experience and knowledge in many types of firms and many different departments has prepared me to represent the district, and interests of the firms in my district, well.

I have dedicated my entire career to the securities industry, and wish to give back to the industry by serving on the committee. I believe I can represent the interests of member firms and advocate for responsible rule making and enforcement in an industry that needs to keep up with an ever changing landscape. I will work with my industry peers and other committee members to discuss proposed regulation, changes to industry processes and standards and articulate industry concerns to the best of my ability. Finally, I will continue to serve the industry by participating on hearing panels when called upon.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/ken-muraoka-crcp-5a42523/>

Link to YouTube video:
