

### **SFAC North Region Seat Candidates**

- Erin Baskett, Chief Compliance Officer, eToro USA Securities Inc.
- Andrew S. Kurian, Chief Financial Officer/Chief Compliance Officer - Compliance and Finance, Hedgebay Securities LLC
- Dan Logue, Counsel, Chief Compliance Officer & AMLCO, Muriel Siebert & Co., Inc.
- Francis Skinner, Chief Legal Officer, Coastal Equities, Inc.
- Steven D. Trigili, Chief Compliance Officer, Garden State Securities, Inc.

## Candidate Profile Form — SFAC Election

Candidate Name: Erin Baskett

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Title: CCO

Firm: eToro USA Securities

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### Candidate Biography and Personal Statement

My name is Erin Baskett and I am seeking your support for a seat on the Small Firm Advisory Committee (SFAC).

I am entering this race because I truly enjoy the business and regulations under which we all operate and believe my background brings a unique view to the seat. I spent 6 years in audit and tax, along with ~14 years in the financial services industry performing and/ or overseeing many departments. I have spent most of my time in small firms which permitted me to oversee and get into the weeds with vastly all departments, helping me understand how one hand impacts the other. I have experience from retail to institutional, from crypto to FINRA/NFA and from issues impacting the US and abroad.

#### ABOUT ME:

I earned my Masters in Accounting from Lindenwood University and my B.S. in Business with a minor in International Finance from the University of Missouri. I began my professional career in the back office of A.G. Edwards where I assisted in overall broker dealer back office operations. For 6 years after that I worked in a full service certified public accounting, audit and business consulting firm, during which time I obtained my certification as a CPA, and managed numerous client engagements.

In 2010, I joined a self clearing and dually registered retail BD and RIA firm with approx 100 employees across 12 offices and 10,000 client accounts in nearly all 50 states where I held the titles of CFO, Director of H.R. and Internal Audit congruently.

In 2012 I helped launch Autonomous Research US LP, a firm which provides research coverage of banks, asset managers, mortgage and consumer finance, payment processors as well as offering an execution service to its clients. In my role of Managing Partner and CFO/CCO, I oversaw the daily operations of the business and was responsible for all accounting & finance, compliance, FINOP, trading operations, regulatory reporting, client management and business development. The business was acquired by Alliance Bernstein at the start of 2019, at which time I also started Sine Qua Non Global (SQN-Global.com) offering outsourced services to financial service firms. Through my company, for nearly the last 3 years, I serve as a CCO, CEO and/ or FinOP for various small financial services firms.

I hold a CPA, CGMA (Chartered Global Management Accountant), Certified Human Resource Specialist (CHRS), Series 4, Series 7, Series 14, Series 24, Series 27, Series 57, Series 66, and Series 99.

I thank you for your time and consideration.

### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—SFAC Election

Candidate Name: Andrew S. Kurian

Title: CFO / CCO

Firm: Hedgebay Securities

### Candidate Biography and Personal Statement

FINRA has it all wrong. While doing a lot of good for investors, FINRA is scaring too many firms out of the industry and increasing the compliance burden on small firms to carry the load. As a 25+ year veteran of the securities industry, I have seen the good and the bad, and I want to have a greater voice for increasing the former and decreasing the latter. We can do this, we can work together. The adversarial relationship between regulator and firm can be altered, it needs to be mended, and we can unite to better serve the investor.

Beginning on the floor of the NYSE as a clerk, earning my MBA at night from NYU's Stern School of Business, I boot strapped my way to the CCO/CFO role at a small firm Broker Dealer working closely with FINRA to obtain our B/D approval. That process, along with many interactions with FINRA staff, has educated me on the duplicative nature of many procedures and the need for greater reform and communication. Procedures can be designed as more user friendly and the "gotcha" mentality replaced with one of mutual understanding. As I encourage my two boys time and time again, you have two ears and one mouth so listen twice as much as you speak.

Obtaining the Certified Regulatory Compliance Professional (CRCP®) designation from the FINRA Institute at Georgetown opened my eyes to other compliance professionals who feel the same, who desire to work with and not against FINRA, but also to many extremely capable and driven FINRA staff who all share my desire to better the industry. Too many opportunities are missed to work as one, not knocking heads. If the mentality is not altered, the current trajectory of the small firm is heading in the wrong direction. The number of Broker Dealers has declined since 2000, and while that is not necessarily bad as some needed to go, the industry needs to rally around the good ones and work together to ensure the industry once again thrives. (<https://www.finra.org/media-center/statistics#firms>)

I have been a registered representative most of my working life, and desire to make the industry better, one small step at a time. It needs to be done; it can be done; and I'd like to have a greater say in leading the charge. As your Small Firm Advisory Committee member representing the North Region I will use my 25 plus years experience to better your experience and gain a greater working environment with your regulator, FINRA. We can do this together.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/andrew-kurian-crcp->

Link to YouTube video:

## Candidate Profile Form—SFAC Election

Candidate Name: Dan Logue

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Title: Counsel and Chief Compliance Officer

Firm: Muriel Siebert & Co., Inc.

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### Candidate Biography and Personal Statement

Throughout my career I have consistently worked to achieve practical solutions to business matters by emphasizing the importance of open communications and building team consensus. I seek to become a member of FINRA's Small Firm Advisory Committee in order to help the constituency of Small Firms become more able to understand FINRA and be more able to successfully act in accordance with all FINRA related matters.

FINRA has committees in place that should be based on the premise that Member Firms need their guidance. However, speaking from a position of leadership at a Member Firm, these FINRA groups provide meager reporting, analysis and/or guidance to Small Firms. I pledge to improve our standing by working with Small Firms and FINRA to improve the communication and understanding of all pertinent matters related to Member Firms. I wish to serve the members that I will represent, not merely the administrative body that encompasses those Firms.

My current position is Counsel and Chief Compliance Officer for Muriel Siebert and Co., Inc., the first broker-dealer to be founded and led by a woman. In this current role, I am focused on strengthening the firm's culture of compliance by leading open dialogue on all issues in order to bolster the Firm's regulatory foundations.

My financial services tenure began when I was recruited into an operations training program by Merrill Lynch. From there, I quickly became part of the McKinsey led review of the Firm's operating divisions. Then perseverance helped me earn a seat on the NYSE where I served for years as a trading floor official. I was also appointed by the NYSE Board to serve a lengthy period as an adjudicatory panel member.

Throughout my career I have productively worked with business units of all dimensions to achieve regulatory success. My history also includes acting as a consultant to small firms, providing compliance and legal expertise. I believe in tailoring best practice initiatives in order to maintain gains achieved through policy and protocol improvements.

At Siebert, I am tasked with balancing the countless responsibilities that many members of small firms encounter: leader, mentor, advisor to senior management, researcher, and problem solver. My skills have been honed over a career that includes consulting, in-house employment, and participation with industry organizations.

During my career I have chaired and been member of many committees at the Firms where I have served. Currently I am chair of the Siebert Investment and Compliance Committees. Additionally, I sit on the Siebert Operating, Risk, Securities Lending, Clearing and Best Execution Committees. It has also been my privilege to donate time and expertise to numerous charitable causes.

My education includes a Bachelor's degree in Political Science from Union College, and a Doctor of Jurisprudence degree from the Evening Division at New York Law School. I am admitted to the bar in New York and New Jersey. In addition, I earned the CRCP designation from the FINRA Institute at Wharton in 2009.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/danlogue/>

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Link to YouTube video:

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## Candidate Profile Form—SFAC Election

Candidate Name: Francis Skinner

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Title: CLO

Firm: Coastal Equities, Inc.

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### Candidate Biography and Personal Statement

#### Biography

Until September 13, 2021, Francis (Frank) Skinner served as Chief Compliance Officer of Coastal Equities, Inc. and Coastal Investment Advisors, Inc.. he continues to serve as Chief Legal Officer of The Coastal Companies, including Coastal Equities, Inc., a FINRA registered broker-dealer; Coastal Investment Advisors, Inc., an SEC registered investment adviser; and Coastal Insurance Services, a division comprised of several insurance agencies providing access to a number of fixed and variable personal lines and business insurance.

Frank's past professional experience includes that as a partner with Skinner & Reiling, PC, a New Jersey headquartered law firm that concentrated in securities law with a focus on representation of securities firms, investment advisory firms, and financial professionals including broker-dealer representatives, investment advisors, and financial planners. The firm's practice also included general commercial law, construction litigation, collection, and estate planning and administration. Concurrently, Frank was also a Managing Director of a financial services regulatory compliance consulting firm, at the time partially owned by Skinner & Reiling, PC.

Before becoming a partner with Skinner & Reiling, Frank spent fifteen years in private practice as a litigator representing equipment finance companies, insurance companies, construction companies, and small businesses in a wide-ranging array of subject matter including contract disputes, collections, bankruptcy, replevins, claim review and defense, and transactional matters. In 1991, Frank earned his BS in Electrical Engineering from Rensselaer Polytechnic Institute in Troy, New York. He earned his JD from Widener University School of Law in 1997.

He is admitted to the bar in New Jersey, Pennsylvania, and Delaware.

#### Personal Statement

I think I can bring experience and a strong voice to the committee. I have spent the last seven years with a small firm, with perspective from both a compliance and a legal role. I also maintain contact with many of my peers, and have connected with many more through various FINRA and other industry conferences. I therefore feel that I am in touch with the current pain points of small firms. I also believe that small firms have many strengths over larger firms which may be overlooked by the industry when consideration is given to regulatory changes. Likewise, I am acutely aware of the unique challenges small firms have when implementing new rules and regulations.

I can provide context from both a business and compliance perspective. I think it is important for firms to voice how challenging it can be for small firms to digest new rules and regulations and implement changes to procedures, both operationally and supervisory, in a cost efficient and effective fashion. Likewise I recognize that change usually serves a necessary or noble purpose, but small firms need to actively voice concerns in how we implement those changes to achieve those goals in a reasonable fashion.

I also have robust arbitration experience and have perspective on the FINRA arbitration system from both a high-level business perspective as well as at the granular case-by-case level. I therefore believe I can contribute to the committee on a diverse range of subject matter.

#### Optional Links:

Link to personal website, resume or CV:

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Link to YouTube video:

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## Candidate Profile Form—SFAC Election

Candidate Name: Steven D. Trigili, CAMS

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Title: Chief Compliance Officer

Firm: Garden State Securities

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### Candidate Biography and Personal Statement

My name is Steven Trigili, and I am seeking your vote for the Small Firm Advisory Committee.

I was elected to the FINRA Regional Committee in 2018 to serve a three-year term as your Small Firm Representative here in District 9, and in January of 2021, I was re-elected to serve a second term. In my role as a Regional Committee member, I am provided with the unique opportunity to provide direct feedback to senior staff and management at FINRA on the important issues impacting small firms today. I take this responsibility as your Regional Committee member very seriously, and I devote a tremendous amount of time to being a vocal advocate for small firms across the country. I would like to further elevate the responsibilities in which you have tasked me and advance my role to that as a Small Firm Advisory Committee member.

I have worked at small firms for my entire 30-year career, and I am presently the Chief Compliance Officer for Garden State Securities, Inc. and Garden State Investment Advisory Services, LLC. a dually-registered BD/IA headquartered in Red Bank, NJ. Additionally:

- I have spoken at the FINRA Annual Conference and the FINRA North Regional Member Forum and - most recently - on a FINRA Virtual Conference Panel on the Supervision of High-Risk Activities (available at: <https://www.finra.org/events-training/virtual-conference-panels/supervision-high-risk-activities>).
- For close to 20 years, I have been a recurring speaker and panelist at industry conferences and webinars hosted by NRS (in which, for the 15th consecutive year, I will be speaking this month at their 2021 Fall Compliance Conference), NSCP, Regulatory Compliance Watch, and ACAMS on topics such as maintaining a robust compliance program for small firms, regulatory trends in examinations, CCO liability, and, most recently, Reg B-I.
- I have been providing compliance consulting services to small firms and securities attorneys since 2009.

I have seen the regulatory climate change dramatically. On a daily basis, I am involved with all aspects of managing the compliance program for my firm, and I am continually striving to ensure a strong culture of compliance across the entire organization. Additionally, as the CCO for a dually-registered firm, I am intimately involved with all regulatory matters that span multiple jurisdictions, agencies, and SRO's.

I have been ACAMS-certified since 2010, and I have the Series 7, 24, 55, 63, 65, and 79. I am an adjunct professor of business, finance and management at Bloomfield College and a graduate professor of business at Southern New Hampshire University. I was born and raised along the Jersey Shore. By volunteering my time in the Small Firm Advisory Committee, I will continue to provide a fresh perspective on the challenging regulatory environment in which we all work to support our families on a daily basis.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/stevetrigili/>

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Link to YouTube video:

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