

### **SFAC West Region Seat Candidates**

- Dave Banerjee, Registered Principal, Second Street Securities, Inc.
- Joseph Terry, Chief Compliance Officer, CCO Capital, LLC

# Candidate Profile Form—SFAC Election

Candidate Name: Dave Banerjee

Title: Registered Principal

Firm: Second Street Securities

## Candidate Biography and Personal Statement

Accomplished finance executive with strong entrepreneurial experience and practical knowledge of the banking and finance industry as well as investment practices. Possess proven expertise in securities regulatory practice, compliance, risk management, policy development, and strategic planning to facilitate the achievement of a company's vision. Equipped with outstanding leadership, relationship management, and communication skills that I deploy while partnering with executives and business leaders to identify vulnerabilities and create corrective actions. My objective is to seek employment in the tech space, including Fintech and Regtech where I can contribute my knowledge of compliance with SEC and FINRA securities regulations to achieve organizational objectives.

President: Southern California Compliance Group. 2021

Investment Management

Program & Project Management

Compliance Management

Financial Modeling

Risk Management

Securities Regulations

Auditing & Outsourcing

Asset Management & Hedge Funds

Anti Money Laundering

Start-ups

Portfolio Management

Strategic Planning

Strong Business Acumen

Presentation Skills

Problem Solving Skills

Verbal & Written Communication

Leadership & Teambuilding

High Ethical Standard & Integrity

Engineering and software development

Digital assets and blockchain experience

RND Resources, Inc.

Chief Executive Officer Nov 1984 – Present

Outsource Regulatory Compliance Consulting to Broker-Dealers, Registered Investment Advisers, FCM, Banks, and Insurance agencies.

Demonstrate the ability to effectively deal with regulatory findings, wells letter, and OTR while handling current investigations.

Confidently exhibit expertise litigation support, IT and coordinate SAS70, PCAOB exams on custody, and certified audits.

Vertically integrate, direct, and guide a Staff of 13 functionally organized employees comprising of ex regulators, law professionals, CRD/IARD, and Corporate and Tax specialists.

Successful history of serving over 320 firms by acting in the capacity of the firms CCO, Finop, registered principal, and intermediary between firm and regulators.

Contribute to the success of companies by responding with effective solutions in a timely manner regarding any compliance, legal or accounting issues that arise.

Simplifv and explain the complex worlds of equity tradina. back office operations and clearing relationships to

## Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

## Candidate Profile Form—SFAC Election

Candidate Name: Joe Terry

Title: Chief Compliance Officer

Firm: CCO Capital, LLC

### Candidate Biography and Personal Statement

Hello and thank you for taking the time to review my candidate profile.

I currently serve as the Chief Compliance Officer for CCO Capital, LLC, the broker/dealer subsidiary of CIM Group, LLC which is a real estate and infrastructure owner, operator, lender & developer. Over my nearly 20 years in the industry, I've held senior compliance and supervision roles at multiple independent and insurance affiliated broker/dealers ranging in size from 75 to well over 15,000 registered representatives. Having started my career on the sales side as an investment representative, along with years of senior compliance experience, I understand the challenges small firms face relative to their larger peers in meeting their regulatory obligations.

Over my career I've had the opportunity to serve on multiple industry committees and advisory groups including activity with FSI, IRI, and LIMRA. I began participating in FINRA committees in 2010 and had the pleasure of serving on the Membership Committee, advocating for independent and insurance affiliated broker/dealers from 2014 until 2018.

My experience at firms of various size and complexity provides me a unique appreciation for the impact new regulations have on member firms. I also understand firsthand the impact that FINRA committees have in shaping our regulatory landscape to the mutual benefit of investors and member firms. This requires input from industry representatives who are willing to both listen and speak up. I assure you, if given the opportunity, I will represent the views of all small firms, not just my own. I value the input from other member firms, welcome open dialogue and appreciate the interest senior FINRA staff has in the input of the membership. I hope to be a reasoned voice representing the interests of all small firms, and humbly ask for your vote.

Thank you for your consideration.

Joe Terry

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: