

SFAC New York Region Seat Candidates

- Joseph A. Alagna, Chairman & Chief Executive Officer, Joseph Gunnar & Co. LLC
- Allan Goldstein, Chief Executive Officer, Euronext Market Services LLC
- Steven Jafarzadeh, Chief Compliance Officer & Partner, Stonehaven, LLC
- Janice Parise, Financial and Operations Principal, Winterflood Securities US Corporation

Candidate Profile Form—SFAC Election (New York Region)

Candidate Name: Joseph A. Alagna

Title: Chairman & CEO

Firm: Joseph Gunnar & Co.

Candidate Biography and Personal Statement

I respectfully submit my candidacy for FINRA's Small Firm Advisory Committee. I am the Chairman and CEO of Joseph Gunnar & Co. LLC, an SEC registered Broker-Dealer founded in 1997. Additionally, I am the Founder and Co-Manager of its affiliate, Buttonwood Group Advisors LLC.

Established in 1997, Joseph Gunnar & Co. is a full service broker-dealer and investment adviser headquartered in New York. Under my direction as Chairman & CEO, Joseph Gunnar & Co. is committed to helping people achieve their financial goals through a full array of investment products and vehicles. For private clients, this could be wealth accumulation, funding their college education, or establishing a lucrative retirement plan. Joseph Gunnar & Co. corporate clients are provided with a value-added component to basic financings not typically available at larger firms. The team can support a number of corporate strategy needs, including, but not limited to, mergers & acquisitions (M&As), business development initiatives, initial public offerings (IPOs), and special purpose acquisition companies (SPACs). Joseph Gunnar & Co. is a long-standing member of the FINRA, NASDAQ, and SIPC.

Buttonwood Group Advisors LLC, founded in 2011, seeks to identify situations where it anticipates a catalyst will unlock value, with particular emphasis on special situation equities, venture capital and secondary markets. Buttonwood offers advisory services to a group of private investment funds that provide individual and institutional investors access to fast-growing, globally disruptive, pre IPO companies, as well as to opportunistic real estate transactions, for which it seeks a shorter period to liquidity than most traditional private equity funds.

Prior to Joseph Gunnar & Co. and Buttonwood Group Advisors, I served as Executive Vice President and National Sales Manager for a nationally-renowned broker-dealer. I was responsible for growing their single-office firm with 20 employees into a business with eight offices across the country that employed more than 250 financial consultants.

I attended the University of Miami with a focus on finance, and then graduated from C.W. Post College with a Bachelor of Science degree in Business Management. I reside on Long Island's North Shore with my wife Michelle and 4 children. We support philanthropic endeavors benefiting programs that cater to under-served youth, medical research and animal preservation.

I am eager to serve on the FINRA Small Firm Advisory Committee. Given my experience and knowledge base I feel I'd be a great asset. I know first-hand the struggles small firms are up against these days, including financial as well as regulatory pressures. I'd like to play a role in building a better bridge between small firms and FINRA and help foster a more collaborative relationship. As customer protection has always been my focus, I feel I can provide valuable insight in order to help FINRA and my small firm colleagues achieve their shared market integrity goals.

I hope you will look favorably upon my candidacy.

Thank you.

Optional Links:

Link to personal website, resume or CV: www.josephalagna.com

Link to YouTube video:

Candidate Profile Form—SFAC Election (New York Region)

Candidate Name: Allan Goldstein

Title: CEO

Firm: Euronext Market Svcs

Candidate Biography and Personal Statement

Allan has had a 30+ year career in the securities industry focused on equity trading in the institutional community. As an active industry participant, Allan previously served the Finra North Region District Committee, the Regulatory Advisory Committee (RAC) and the SFAC. Allan has been a panel speaker at the Small Firms conference and FINRA Annual Conference. Later, Allan served on the SEC's Consolidated Audit Trail advisory committee working closely with the SEC and FINRA prior to CAT's go live.

As CEO of Euronext Market Services (EMS) for the past two years, Allan is responsible for the operational, financial and strategic initiatives at the US broker dealer unit of Euronext, the European stock exchange group. EMS is primarily engaged with institutional investors in technology and services related to investment research, provision of section 28(e) eligible third party research, and soft dollar commission management. EMS also runs BondVision US, a European government bond RFQ platform connecting US investors with EGB liquidity.

Allan was a co-founding partner of Trade Informatics, formerly SJ Levinson, a boutique agency execution broker and trading data analytics firm specializing in solutions for institutional investors such as transaction cost analysis, bespoke post-trade quantitative market structure research and electronic trading solutions. As COO, CFO and CCO, Allan was responsible for all compliance and regulatory matters and the day-to-day operational and financial management of the firm from 2007 until 2019.

Allan has been associated with small broker dealers his entire career starting in 1985 as a Specialist Trading Assistant on the NYSE trading floor and soon after starting his own business as an independent floor broker at the NYSE. He was CCO, CFO and FINOP with the NYSE floor based "Direct Access" broker Safir Securities and later moved off the Big Board as an Institutional Sales Trader in global equities and fixed income with Freemark Blair. Briefly, prior to helping launch Trade Informatics, Allan was CCO at the Bear Stearns market making subsidiaries Bear Hunter Structured Products, and Compliance Officer at Bear Wagner Specialists.

Allan earned his MBA and bachelor's degree in Finance and Statistics from the Stern School of Business at New York University and holds multiple industry registrations including Series 4, 7, 9, 10, 14, 24, 27, 63, and 55.

"I closely follow and support the work of the SFAC and am passionate about how the regulatory landscape, both existing and contemplated, impacts small firms and the practical 'on-the-ground' implications associated with Finra rule making, enforcement and examinations. I am firmly pragmatic in my approach which is appropriately suited for the operations of a small firm. During my earlier tenure with SFAC, I worked to support improvements with WebCRD, actively joined the fight against PCAOB oversight and fees, and lobbied to eliminate OBS from small firm filing obligations. While working on CAT, I fought to keep customer PII out of the database. I'm now eager to rejoin our cause and look forward to the opportunity to represent small firm concerns once again."

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/allangoldstein01/>

Link to YouTube video:

Candidate Profile Form—SFAC Election (New York Region)

Candidate Name: Steven Jafarzadeh, CAIA, CRCP

Title: Chief Compliance Officer & Partner

Firm: Stonehaven, LLC

Candidate Biography and Personal Statement

Steven Jafarzadeh is the CCO and a Partner of Stonehaven, LLC. Mr. Jafarzadeh contributes significantly to planning the overall strategic direction of the Firm, managing compliance, supervising operations, serving as the point person with FINRA, the SEC, the NFA and the MSRB, creating and implementing systems that provide scale to the Firm's platform, providing strategic guidance to employees and Affiliate Partners, and identifying and cultivating long-term, strategic relationships within the financial community. Mr. Jafarzadeh coordinates all cycle examinations with regulatory organizations as the Firm's CCO and has maintained the Firm's exemplary record through each regulatory exam despite the complexities of a dynamic regulatory landscape, a growing team, and a business model unique to regulators.

Prior to joining Stonehaven over 15 years ago, Mr. Jafarzadeh was Head Trader for a small firm and managed order flow from multiple in-house hedge funds, managed accounts and institutional equity sales channels. Mr. Jafarzadeh has also served in various compliance roles which have been instrumental regarding the launch and administrative maintenance of a Registered Investment Adviser, multiple onshore and offshore hedge funds, and managed accounts.

Mr. Jafarzadeh attended the University of Vermont with a focus in economics and earned a B.S. in Business Management from the University of Phoenix. Mr. Jafarzadeh is a CAIA charter holder, and is a member of the Chartered Alternative Investment Analyst Association. Mr. Jafarzadeh is also a Certified Regulatory Compliance Professional (CRCP), having earned this designation through the FINRA Institute at The Wharton School of the University of Pennsylvania. Mr. Jafarzadeh served as an elected member and Small Firm Representative of the FINRA New York City Regional Committee which serves the greater metropolitan area of New York and its five boroughs between 2017 and 2020. Mr. Jafarzadeh also currently serves as a FINRA Hearing Panelist for FINRA disciplinary hearings. Mr. Jafarzadeh is also a former member of the Board of Directors for the Third Party Marketers Association where he served as Director of Communications for the Regulatory Committee. Currently, Mr. Jafarzadeh holds the Series 7, 24, 31, 55, 63, 79 and 99 registrations with FINRA.

I have been working in the securities industry for over 25 years and I am passionate about small firm advocacy. I fought hard for small firms when I was elected as the small firm representative to the FINRA New York Regional Committee back in 2017. If elected, I will continue to leverage my experience and industry relationships to ensure that the collective voice of the small firm universe is heard. Small firms must tackle a spectrum of complex and evolving issues in these dynamic market conditions, and a seasoned market practitioner, small firm owner, and former Regional District Committee Member who has experienced these issues is best positioned to fight for small firms on the SFAC. I invite all small firm members to contact me and open a dialogue to discuss the pressing issues that your firm is facing so that we may work together as a constituency to get things done.

Optional Links:

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

Link to YouTube video:

Candidate Profile Form—SFAC Election (New York Region)

Candidate Name: Janice Parise

Title: Financial and Operations Principal

Firm: Winterflood Securities

Candidate Biography and Personal Statement

For over 25 years, I have been registered as Financial and Operations Principal for various small firms. I am a CPA and a Partner of DFP Partners (formerly known as SD Daniels), where I serve as FinOp for 13 small firms. DFP Partners currently provides outsourced FinOp and compliance consulting to approximately 200 small firms. I serve as a member of the FINRA S27 Exam committee and participate on the FINRA Outsourced FinOp Working group (chaired by Kayte Toczylowski). My experience and involvement in the FINRA community has provided me with a deep understanding of the challenges that small-firms face and how to best advocate for them.

My extensive experience working with and guiding small firm members has led me to develop a unique perspective that I feel is often missing from regulatory decision-making. I am eager to be an advocate for small firms and a changing force in the industry. I distinctly remember at a FINRA S27 Exam Committee meeting back in 2017, we set aside our S27 agenda to discuss how the new PFO and POO rules would affect member firms. During this discussion, the only perspective that was being expressed by the FINRA staff was that of large firms. As an advocate and ally for small firms, I felt empowered to express how these changes would impact small firms. Not only were the FINRA staff surprised by what I shared, the discussion became more balanced and meaningful and expanded to reflect the impact on small firms as well as large firms. I truly felt that I was able to provide the regulators a different perspective and add value to the issue.

I plan to bring this same level of commitment to the committee should I be elected. I believe my extensive experience working with, and guiding small firm members makes me an ideal candidate for this position. Small firms account for over 80% of all Member firms, yet they don't have an active voice with the regulators. I believe with my passion for this sector of the industry, combined with my knowledge and experience and the FINRA committees that I serve on, I would be able to make a difference for the small firm community. I would sincerely appreciate having the opportunity to serve the small firm community in their efforts to be heard.

Thank you in advance for your support.

Optional Links:

Link to personal website, resume or CV: [linkedin.com/in/janice-parise-cpa-760a9a10](https://www.linkedin.com/in/janice-parise-cpa-760a9a10)

Link to YouTube video:
