

Candidate Profile Form—Regional Committee Election

Candidate Name: **Kenneth Cherrier**

Title: **Chief Compliance Officer**

Firm: **Fidelity & Guaranty S**

Candidate Biography and Personal Statement

As the CCO for F&G Securities, Kenneth is responsible for the firm's day-to-day Enterprise Risk Management function. Prior to working with F&G Securities, Kenneth held positions with numerous firms as a Chief Compliance Officer, Regulatory Compliance Officer, and numerous other Operations and Compliance positions.

Kenneth has drawn on his experience in these fields and integrated his legal education and sales experience to create Supervisory and Compliance platforms that are responsive to today's turbulent regulatory environment that are fair for both the client and the financial professional.

Taking a stewardship approach to the industry, Kenneth acts as a FINRA arbitrator and FINRA hearing panelist and is an active member of numerous industry associations. He has sat on the Board of the National Society of Compliance Professionals (NSCP), has thrice served as a member of the FINRA District 4/Midwest Regional Committee, and sat on FINRA's Regulatory Affairs Committee and Continuing Education Committee. In addition to working as an Instructor at Wharton for FINRA's Certified Regulatory Compliance Professional (CRCP) certification, Kenneth has taught Securities Broker-Dealer Regulation at William Mitchell College of Law as an adjunct legal professor.

Some of the certifications and registrations he has held or currently holds are: Minnesota Insurance License, Series 4, 7, 9, 10, 24, 53, 65 and 66 and the Fellowship of Life Management Institute (FLMI). Kenneth graduated from the University of Minnesota with a Bachelor of Science Degree in Economics with a Math emphasis. He obtained his Juris Doctorate from William Mitchell College of Law in St. Paul Minnesota.

JOBS

Chief Compliance Officer, Fidelity & Guaranty Securities	DES MOINES, IA	SEP 2022 – CURRENT
SVP AML Compliance, US Bank Wealth Management	MINNEAPOLIS, MN	MAY 2019 – AUG 2022
Chief Compliance Officer, Comerica Securities	DETROIT, MI	OCT 2017 – APL 2019
Chief Supervisory Officer, Waddell & Reed	OVERLAND PARK, KS	FEB 2010 – APR 2017
Chief Compliance Officer, Woodbury Financial	WOODBURY, MN	SEP 2007 – MAR 2009
Chief Compliance Officer, Fintegra Financial Solutions	BROOKLYN CENTER, MN	OCT 2002 – JUL 2007

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/kenneth-cherrier-858434102
<https://youtu.be/9QQLLTnK7bw>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Matthew J. Kinsella**

Title: **Vice President and Chief Compliance Officer**

Firm: **AIC, LLC**

Candidate Biography and Personal Statement

Matt Kinsella has more than 17 years of experience with Broker/Dealers and Registered Investment Advisors. He currently serves as the Vice President and Chief Compliance Officer for Ameritas Investment Company, LLC, a Broker/Dealer, Ameritas Advisory Services, LLC, a Registered Investment Advisor, and Ameritas Investment Partners, Inc., a Registered Investment Advisor. In his role as CCO with each entity, he is responsible for ensuring compliance with the FINRA, SEC, DOL, MSRB and state rules and regulations.

Prior to joining Ameritas, Mr. Kinsella worked at Securities America, Inc., Securities America Advisors and Arbor Point Advisors. Throughout his tenure at Securities America, he worked in various roles including supporting financial planning, conducting product due diligence, leading the Product Management team and serving in multiple roles within the compliance department, ultimately being named the Chief Compliance Officer of each entity.

Mr. Kinsella holds Series 7, 24, and 66 and Accredited Investment Fiduciary and the Certified Regulatory and Compliance Professional designations. He also serves on the Compliance Council for the Financial Services Institute.

With his background in various organizations and practical experience reviewing, interpreting and applying regulations to business operations, Kinsella believes he would represent the industry well through District 4 of the Midwest Regional Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Steve Youhn

Title: CCO

Firm: Cambridge Investment

Candidate Biography and Personal Statement

Steve has extensive experience with independent broker-dealers and RIAs, having served as chief compliance officer for several large firms. Currently, Steve is the CCO for Cambridge Investment Research's BD and RIA subsidiaries. He has also served as CCO for the BD/RIA affiliates of Lincoln Financial (LFS and LFA), Protective Life (Concourse Financial Securities), and M Financial. Prior to becoming CCO, Steve spent 10 years as an attorney with both the U.S. Securities & Exchange Commission and Chicago Board Options Exchange.

My main focus as a member of the Regional Committee will be to represent the interests of both independent BDs and small firm BDs. With regulatory rulemaking occurring with increased frequency, it is critical that the concerns of our constituent firms are heard and considered. As Cambridge is also a member of FSI, I will strive to ensure concerns of FSI are considered as well.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
