

Candidate Profile Form—Regional Committee Election

Candidate Name: **Dennis Azary**

Title: **Deputy Chief Compliance Officer**

Firm: **Finalis Securities, LLC**

Candidate Biography and Personal Statement

I am a compliance and financial operations professional, and have been actively employed by broker dealers since 1993, including a four year career as a regulator. My formal training in broker dealer compliance, accounting and SEC rules 15c3-1 and 15c3-3 was obtained during my tenure with FINRA (NASD) from August, 2000 through December, 2004. Between leaving FINRA in 2004 and the present time, i have been affiliated with approximately 20 firms, serving in many capacities, including full-time CCO, contractual FINOP and Compliance Officer, as well as consultancy through my company Peak Regulatory Consulting, LLC.

I am currently the Deputy Chief Compliance Officer of Finalis Securities, LLC, an innovative and fast -growing broker dealer offering compliance & broker dealer solutions to over 300 independent investment banking advisory firms, and including a deal-making platform of curated offerings. To maintain my Series 27 and keep my FINOP knowledge current, i serve as FINOP for Grafine Capital Partners, LLC, a firm approved as a Capital Acquisition Broker (" CAB "), engaged in raising capital for unregistered private equity and venture capital funds.

Given my vast industry experience and adeptness at compliance & financial risk management, i strongly believe i can assist FINRA in its important regulatory mission of protecting investors and ensuring the integrity of our industry. It would be an honor to be able to share my experience and insights in a FINRA committee such as this. I hope i am selected!

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—Regional Committee Election

Candidate Name: **Lawrence S. Block**

Title: **President and Chief Compliance Officer**

Firm: **Anubis Securities LLC**

Candidate Biography and Personal Statement

Lawrence (Larry) Block is President and Chief Compliance Officer of Anubis Securities LLC, a broker-dealer subsidiary of Island Capital Group, a private investment firm. Anubis Securities is authorized to: raise debt and equity capital through private placements; sell interests in limited partnerships and limited liability companies in primary distributions; sell direct participation programs and registered direct offerings; and engage in investment banking activities.

Mr. Block is Senior Managing Director, Co-General Counsel and Chief Compliance Officer for Island Capital Group and its affiliates, including Island Investment Management LLC, an SEC-registered investment adviser. Mr. Block is also Senior Managing Director, Co-General Counsel and Chief Compliance Officer for C-III Capital Partners LLC and its affiliates, including C-III Investment Management LLC, an SEC-registered investment adviser. Mr. Block has been with Island Capital and its affiliates since January 2011 and is responsible for all of the firms' regulatory and compliance matters.

From 2016 through 2021, Mr. Block was Senior Vice President and Chief Compliance Officer for Resource America, Inc. and its subsidiaries (a wholly-owned subsidiary of C-III Capital Partners), including its broker-dealer subsidiary (Resource Securities LLC) and investment advisers (Resource Real Estate LLC and Resource Alternative Advisor LLC, which served as the investment advisers for two SEC-registered open-ended 1940 Act vehicles registered as interval funds; Resource Financial Fund Management LLC, Resource Financial Institutions Group LLC and Ischus Capital Management LLC, which managed private investment funds and CLOs; and Exantas Capital Manager Inc., which managed a publicly-traded mortgage REIT).

From March 2005 through January 2011, Mr. Block was Executive Vice President, General Counsel and Chief Compliance Officer for The Kenmar Group, an alternative investment firm, where he was responsible for Kenmar's global legal, regulatory, corporate and compliance matters, including various investment advisers, commodity pool operators, commodity trading advisers, a broker-dealer and introducing broker and a transfer agent, as well as the firm's FSA-registered office in London and its office in Singapore.

From January 1998 through March 2005, Mr. Block was Managing Director, General Counsel and Chief Compliance Officer for Lipper & Company L.P., an alternative investment firm, where he was responsible for the firm's legal, regulatory corporate and compliance matters, including its broker-dealers and investment advisers.

Mr. Block was a senior associate at the law firm Cadwalader, Wickersham & Taft in New York from 1996 through 1998 and an associate at the law firm Proskauer Rose LLP from 1992 to 1996.

Mr. Block received a B.S. degree in Business Administration with a concentration in Accounting from the University of North Carolina at Chapel Hill in 1989 and a J.D. from the University of Pennsylvania School of Law in 1992.

Mr. Block is and has been a member of a number of industry organizations and various committees thereof. He is currently a member of the Compliance Committee of the New York City Bar Association.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **DIANNE CALABRISOTTO**

Title: **CHIEF OPERATING OFFICER AND CHIEF COMPLIANCE OFFICER**

Firm: **SIEBERT WILLIAMS S**

Candidate Biography and Personal Statement

Personal Statement:

My experience within the securities industry, which exceeds 39 years, has given me a deep understanding of the rule making process from both a regulatory and industry perspective. As our industry continues to evolve at an extraordinary pace, it is imperative that we develop a balance between the underlying purpose of various rule proposals and the resulting impact on the industry at large, particularly when it creates unnecessary burdens and/or barriers for industry participants. As a founding member of an independent introducing broker-dealer, my perspective from operating within this unique business model can add value to this Committee's discussions.

Biography:

DiAnne Calabrisotto is Chief Operating and Chief Compliance Officer of Siebert Williams Shank & Co., LLC one of America's largest women-and minority-owned investment banks, and also serves as the Chief Compliance Officer for SWS's affiliate SWS Capital Management, LLC. She is one of the founding members of The Williams Capital Group, L.P., where she served in the same capacity from 2004-2019.

Her tenure in the financial services industry spans 39 years and centers on institutional financial services with a strong emphasis in operations, finance and compliance. Ms. Calabrisotto's expertise extends beyond her roles in compliance. As the firm grew to one of the most active underwriters of U.S. investment grade corporate bonds in the country, Ms. Calabrisotto was instrumental in developing its internal controls and operations systems as well as being a key player in the Firm's strategic planning process and creating strategic business alliances. Her experience, leadership, and inclusive management style focus on creating and delivering technology-driven, cost-efficient solutions, and collaborating with management to strengthen each department's operational processes to accomplish the goals of the Firm. In her capacity as Chief Operating and Chief Compliance Officer, Ms. Calabrisotto oversees the day-to-day activities, operations management, and the compliance/regulatory matters at SWS. She ensures the Firm's compliance with regulatory requirements by running a robust compliance, supervisory and risk management program. Her extensive knowledge of the regulatory rules within the industry is instrumental when working through compliance issues, while also allowing her to maintain good relationships with regulators. She has an extensive track record of successfully evaluating compliance issues, and then taking appropriate action to resolve them.

Prior to Siebert Williams Shank, Ms. Calabrisotto held a variety of positions at Prudential Securities, Tucker Anthony and Jefferies & Company, Inc. and currently holds the FINRA Series 7, 9/10, 14, 24, 52, 63, and 99. She is also a patented inventor of the Personal Rolling Valet and is also published in two academic textbooks that outline the uses of financial derivatives in the capital markets, The Handbook of Derivatives & Synthetics and Advanced Interest Rate and Currency Swaps. She also enjoys giving back to the communities in which she has served through her role in a foundation and other projects she has participated in at the local and national level.

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Candidate Profile Form—Regional Committee Election

Candidate Name: **Steven Jafarzadeh, CAIA, CRCP**

Title: **CCO & Partner**

Firm: **Stonehaven**

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, serving as the Firm's point person with FINRA, the SEC, the NFA, and the MSRB, spearheading contract negotiations with outside parties, 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, and has maintained the Firm's exemplary record despite the complexities of a dynamic regulatory landscape, a growing team, and a business model unique to regulators.

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 received his B.S. in Business Management from the University of Phoenix. Mr. Jafarzadeh is a CAIA charter holder and member of the Chartered Alternative Investment Analyst Association, and he 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. Currently, Mr. Jafarzadeh holds the Series 7, 14, 24, 31, 55, 57, 63, 79, 99 registrations with FINRA.

Smart regulation helps all of us. Over-regulation hurts all of us. We've been in a rising tide of over-regulation for too long now which has continued to increase the regulatory exposure and legal/regulatory expenses for all Small Member Firms. With our limited resources, the regulatory burdens that Small Member Firms face are increasingly challenging, and they present clear and present dangers to our continued operations. Effective representation that employs intelligent advocacy and thoughtful communication can make real changes.

I am acutely aware of the current and trending regulatory environment for Small Member Firms as the CCO & Partner of a boutique broker-dealer for the past 16 years. I am committed to making a meaningful difference by leveraging my 25+ years of industry experience to engage in fierce and intelligent advocacy for small member firms.

Small Member Firms need a fresh, strong, well-informed, and articulate voice to effectively communicate with the powers-that-be. If re-elected to the NY Regional Committee, I will intelligently advocate for the small firm members and the specific issues facing us in this challenging regulatory environment. Thank you in advance for your support.

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Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **John Keating**

Title: **Chief Compliance Officer**

Firm: **Webull Financial**

Candidate Biography and Personal Statement

Biography: John "Jack" Keating is Webull Financial's Chief Compliance Officer. He is responsible for overseeing the firm's compliance with applicable laws and regulations, providing advice on business and policy matters, and managing relations between Webull and its regulators. Prior to joining Webull, Mr. Keating served as the Deputy Chief Compliance Officer with Interactive Brokers LLC where he had coverage responsibilities over the firm's securities, forex, and commodities business lines. Specific to Interactive's securities business, Mr. Keating supervised aspects of the clearing business, including securities lending, margin and portfolio margin, transfers, correspondent clearing, cashiering, treasury, and compliance testing. Prior to Interactive Brokers, Mr. Keating worked in Compliance at the Bank of Nova Scotia where he supported the firm's Broker-Dealer and FCM (Scotia Capital USA Inc.). Mr. Keating holds SIE and Series 7, 24, 63, and 3, is a licensed Attorney in New York State, and has prior work experience with FINRA.

Personal Statement: I am excited to submit my application to join FINRA's New York Regional Committee. I am submitting my application following a discussion with FINRA's Kayte Toczykowski and Andrew McElduff at FINRA's Firm Grouping Conference. Joining the Committee is important to me because it will allow me to help the overall brokerage industry tackle the pressing issues of the day. During my tenure with FINRA, I participated in the Emerging Issues Group in District 10 and provided insight into cutting edge problems facing the industry, including making some of the early presentations on cryptocurrency within FINRA. Now, working in a large retail FinTech, I can bring issues facing the retail investor to the forefront. I have a deep rooted interest in financial regulation and am also a lawyer. I will bring over a decade of experience to the Committee and can hopefully provide insight into how firm's are utilizing the newest technology, like Generative AI. As the leader of Webull's compliance and ethical program, I am committed to upholding the highest standards of ethics and compliance. I believe my background in risk management and regulatory affairs, uniquely positions me to contribute meaningfully to the Committee's mission. I am eager to collaborate with industry peers in the pursuit of regulatory solutions that address current challenges and foster innovation. Joining FINRA's New York Regional Committee would be an honor, and I am excited about the opportunity to leverage my expertise for the betterment of the financial community and its stakeholders.

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Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Dean Park**

Title: **Chief Compliance Officer**

Firm: **BTG Pactual US Capi**

Candidate Biography and Personal Statement

Dean Park is currently the CCO of BTG Pactual U.S. Capital, LLC, a Brazilian bank owned full service broker/dealer with offices in New York City, Miami, and Stamford. Founded in 2009, the Firm provides equity/fixed income sales and trading, investment banking, wealth management, and research services and has both retail and institutional customers.

Dean has been in the industry since 2000 and has experience working for firms of varying sizes and business lines based in the U.S., Europe, and South America. He has a deep understanding of broker-dealer rules as a CCO and knows the difficulty of managing a compliance program in a continuously evolving regulatory environment. As a part of a growing small firm, Dean also knows the challenge of applying resources efficiently and the need engage senior management to ensure a good culture of compliance. In addition, Dean's experience working for foreign firms gives him insight in to the unique challenges that foreign firms and customers have and in turn the ability to relate that knowledge to FINRA as a committee member.

Dean has a B.A. from Rutgers College and a J.D. from George Washington Law School. He has the Series 7, 24, 57, 63, and 99.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—Regional Committee Election

Candidate Name: **Bishen Pertab**

Title: **President, CEO & CCO**

Firm: **ICICI Securities Inc.**

Candidate Biography and Personal Statement

I have almost 20 years of experience in Compliance and over 25 years in financial services. I have worked with both retail and institutional clients and have done trading in both the US and Emerging markets. I'm a hard worker who takes ownership in my work. This quality has helped me to receive multiple promotions in firms where I have worked. As President and CEO, I'm responsible for the Firm's operations in the US, Canada and Singapore. I currently hold the FINRA Series 7, 63 and 24 licenses. I also obtained my BA in Finance at Iona College in New York and my MBA at University of Connecticut School of Business in Stamford, CT. I currently live in Connecticut with my wife and our twin boys.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/bishen-pertab-b501892/>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Stephen Sikes**

Title: **Chief Executive Officer**

Firm: **Public Investing**

Candidate Biography and Personal Statement

As CEO of Public Investing and COO of Public.com, Stephen leads the brokerage, crypto, international, and alternatives business lines and is responsible for operations, customer, support, legal, compliance and risk functions. Prior to joining Public, Stephen was on the founding team and became the Business Lead of SoFi Invest, SoFi's investing product. Previously, he was an Engagement Manager at McKinsey & Company, and served as a cavalry officer in the U.S. Army.

Optional Links:

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

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Osamu Watanabe**

Title: **General Counsel and Chief Compliance Officer**

Firm: **Moelis & Company**

Candidate Biography and Personal Statement

I am currently the General Counsel and Chief Compliance Officer at Moelis & Company (NYSE MC), an independent investment bank focused on M&A. I helped build the firm from its early days and led the IPO of the firm. I have worked in the investment banking industry for 38 years with a wide range of experience. I practiced law at Sullivan & Cromwell for 10 years, clerked for a Federal Judge, interned at the SEC and held leadership roles at various investment banks - DLJ (medium size firm), UBS and Credit Suisse (global firm) and Sagent Advisors (50 registered rep firm). I spent 7 years in Tokyo, Hong Kong and Sydney working in other regulatory regimes, which has given me additional perspectives on US regulation. I worked for 13 years in branch offices gaining an understanding of the challenges of supervision outside the home office. I have a JD from Yale Law School.

I am passionate about growing companies using my knowledge of the investment banking business and risk management. I believe deeply in the power of entrepreneurship, innovation and personal accountability. Since we started Moelis as a new firm 16 years ago, we have had the ability to be innovative in building our compliance program on a clean slate. Moelis has had a clean regulatory record, until our recent text messaging violation. I believe in using modern insights into human behavior to improve compliance. At Moelis we seek to embrace new technologies to enhance business and compliance.

I am active in the Asian American Bar Association teaching leadership development and mentoring young lawyers and compliance officers.

I have served 1 term on the New York Regional Committee and I am seeking reelection. I hope to continue working with FINRA officers to improve industry compliance and communication between firms and FINRA. I have sat on a number of FINRA Hearing Panels (which have settled). I have been on panels with FINRA officers at the FINRA Annual Conference and on panels on regulatory matters at the National Asian Pacific American Bar Association Conference. I regularly participate in the FINRA Diversity Leadership Summit.

Optional Links:

Link to personal website, resume or CV: **attached**

Link to YouTube video: