

Candidate Profile Form—Regional Committee Election *(this page will be displayed on finra.org)*

Candidate Name: **James Clements**

Title: Chief Compliance Officer

Firm: Carson Group Brokerage, LLC

Candidate Biography and Personal Statement *(500 word limit)*

Biography

James is the Chief Compliance Officer for several of Carson Group's registered entities. The primary responsibilities are the continuous design, management, and administration of the Firm's Compliance program to ensure ongoing development and implementation including but not limited to, development of policies and procedures, supervision, audits, advertisement review, and surveillance.

He was previously the VP, CCO and Risk Management for Ameritas Investment Company, LLC (AIC) the broker dealer, Registered Investment Adviser, and Municipal Advisor subsidiary of Ameritas Life Insurance Corp.

He has been in the securities industry for almost 30 years. He has a Master's Degree in Organizational Management and a Bachelor's Degree in Political Science with a minor in Economics. He holds FINRA Licenses 7, 9, 10, 24, 63 and 65. He also attained the Investment Adviser Certified Compliance Professional (IACCP), Behavioral Financial Advisor (BFA), as well as the Accredited Investment Fiduciary (AIF) designations.

Personal Statement

My compliance team makes it possible for our partners to make names for themselves. We work quietly in the background, while making sure everything is done for our Partners and their firms to excel.

We work with our Partners so that they have the best registration support, training, and compliance service possible. With our help, the entire compliance process is a little less overwhelming.

We bring a wealth of knowledge and experience acquired from years of working in RIA compliance. The team come from various business backgrounds, such as law firm administration, financial planning, licensing, insurance, investments, and advertisement review fields. We are all devoted to making the registration process and compliance requirements as smooth as possible.

As a result, we are constantly rated in the top five areas to work with within our firm.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____