

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

Candidate Name: **Taylor Kerley**

Title: Director of Corporate Compliance Firm: **ROBERT W. BAIRD & CO. INCORPORATED**

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

Taylor Kerley  
Director of Corporate Compliance  
Baird

I am currently the Director of Corporate Compliance at Baird, having transitioned to this position during 2024. I earned a Bachelor's degree in Finance at the University of Wisconsin-Milwaukee and hold FINRA Series 7 and 24 licenses.

I joined Baird directly out of college, where I immediately began my career in compliance. I have since served in various retail compliance roles at Baird, allowing me to expand my knowledge and understanding of both the industry and complexities of the regulatory landscape. During this time, I was heavily engaged in regulatory responses, internal investigations and surveillance development, including assessing firm procedures in conjunction with regulatory guidance, communicating with and educating associates about firm policy and leveraging surveillance and reporting to ensure adherence to firm policy. I was also integral in the firm's response to recent major regulatory initiatives, such as Regulation Best Interest and the DOL Fiduciary Rule. Beyond the impacts to our retail compliance team, these initiatives also offered me significant exposure to firm operations. I have most recently transitioned into a corporate compliance role, focusing on regulations and industry trends that impact all of Baird's business and home-office functions, with a special focus on firm and associate disclosures, associate registrations, firm training and policy management.

I have also served on a variety of internal committees, ensuring regulatory impacts are considered as well as providing perspective on how our industry peers may be handling certain activities. Benchmarking and relationships with peer firms remains critical in my role, as I believe they allow for unique perspective and creative solutioning when developing policy on new or evolving regulatory initiatives.

I believe my committee and networking experiences and extensive background in retail compliance, paired with my renewed focus on broader firm-wide impacts would make me a great candidate for this committee. I have a true interest in understanding and expanding my knowledge on industry issues and providing valuable input on the impacts of regulations. Most importantly, I would love the opportunity to hear and learn directly from FINRA staff members and other industry peers and share in making a meaningful impact on proposed regulations.

### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_