

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

Candidate Name: **David L. Hunt**

Title: Chief Compliance Officer

Firm: Palico, LLC

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

I serve as the Chief Operating Officer of Patten Training & Review, with more than 28 years of compliance and executive leadership experience in the financial services industry. My current responsibilities include outsourced CCO, FINOP, and CEO roles for member BDs and SEC IAs, plus leading Patten's marketing efforts, business development, client onboarding, and staff development.

Prior to joining Patten I served as CEO, president and Chief Compliance Officer for several broker-dealers and investment advisers across the country, including Circle, Securitize, Allianz Global Investors, Wachovia Securities, Trusco Asset Management, and Iowit. In every firm I implemented preventative compliance programs that emphasized a strong culture of compliance, and an adherence to high ethical standards and transparency.

I have earned a Bachelor of Arts in Economics from Albion College and currently hold the Series 7, 14, 24, 27, 50, 55, 63/66, 99 licenses and the ACAMS certificate.

I am a multi-faceted executive with deep experience in establishing compliance and risk management program in resource constrained environments, as well as managing Compliance and Operations Departments in global organizations. I believe I could be a benefit to FINRA and the members it serves.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: