

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

Candidate Name: **John Klocek**

Title: Chief Compliance Officer

Firm: Loomis Sayles Distributors, L.P.

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

In consideration to serving on the North Region Committee representing District 11, I would be excited to engage and collaborate with committee members and FINRA on the various issues and challenges the securities industry is facing. I am eager to use my experience and expertise in contributing to regulatory discussions and making a meaningful impact on the securities industry and regulatory oversight.

I am currently the Chief Compliance Officer of Loomis Sayles Distributors, L.P. and have been a licensed securities professional (SIE, Series 7 top-off, 24, and 63) since 2014. As the CCO, I oversee the broker-dealer's compliance program in adhering to FINRA and SEC rules and regulations as well as compliance with laws related to privacy, anti-bribery and corruption and conflicts of interest. I also serve as the broker-dealer's AML Compliance Officer.

Loomis Sayles Distributors, L.P. is a limited purpose broker-dealer that offers private pooled vehicles and mutual funds managed by Loomis, Sayles & Company, L.P.

In addition to my broker-dealer responsibilities, I also support the broker-dealer's parent registered investment advisory firm, Loomis, Sayles & Company, L.P., by serving as the firm's Privacy Officer, overseeing the CFTC and NFA compliance program, and compliance oversight of electronic communications, political contributions, and client facing gifts and entertainment.

Loomis, Sayles and Company, L.P. ("Loomis Sayles") is a registered investment advisory firm with over \$350 billion and assets under management, primarily serving institutional sub-advisory, corporate, public fund, Taft-Hartley, insurance, healthcare, and endowment/foundation clients.

I joined Loomis Sayles in 2023 from Wellington Management Company, LLP (2013-2023), where I was a Senior Manager of Sales Practice Oversight. In that role I oversaw the first-line compliance function of their broker-dealer, Wellington Funds Distributors, Inc., a limited purpose broker-dealer offering privately placed pools, hedge funds, and private equity funds managed by Wellington Management Company, LLP. I also provided regulatory compliance support to firm's Global Marketing team.

Prior to that, I was a Principal Risk Monitoring Analyst and Principal Examiner at FINRA's Boston District Office (2004-2013), serving as the primary liaison between FINRA and assigned member firms while providing on-going surveillance of firms by analyzing financial and sales practice data. As both an Examiner and Risk Monitoring Analyst, I was able to get to know a wide variety of different types of broker-dealers, understanding their business models, regulatory requirements, and regulatory compliance challenges.

I also held roles as a Floor Service Team Lead and in Market Surveillance at the Boston Stock Exchange (2000-2004). I earned a BBA from the University of Massachusetts, Amherst.

I enjoy working in a collegial, collaborative fashion, building long lasting relationships, and learning from my peers. I believe my experience in leading broker-dealer compliance efforts, building effective and efficient regulatory programs, and obtaining a broad understanding of broker-dealers and regulation while working at FINRA would allow me to provide valuable insights and make meaningful contributions to the North Member Committee.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: