

## Attachment A

### Nominee Profiles

#### Nominating Committee Nominee for Large Firm NAC Member

**Richard Kuhlman** is a Senior Vice President and Chief Legal Officer of Cambridge Investment Research, Inc. In his role, he oversees Cambridge's Regulatory Affairs and Dispute Resolution Teams, as well as day-to-day operation of the Legal Department. He provides direction on relevant legal and regulatory issues for the firm with a focus on risk mitigation while also focusing on supporting the growth of Cambridge in connection with the firm's broker-dealer, insurance and registered investment advisor operations. He is registered with Cambridge and holds Series 7 and 24 licenses.

Mr. Kuhlman joined Cambridge in 2019 and has more than 25 years of private practice experience, focused primarily on litigation, regulatory and compliance matters arising in the financial services area. Prior to joining Cambridge, he served as a partner at Bryan Cave Leighton Paisner, LLP; Husch Blackwell Sanders, LLC; and served as a judicial law clerk for a United States District Court judge. He earned Bachelor of Arts degrees in economics and psychology from Duke University and a Juris Doctorate from Washington University School of Law. He is currently a member of the Missouri, Illinois, and District of Columbia Bar Associations.

#### Nominating Committee Nominee for Small Firm NAC Member

**Trinity Lee** is President and Executive Director of Heim, Young & Associates, Inc. She previously served in various roles with this firm, and HYA Advisors, Inc., an investment adviser firm, including as chief compliance officer, FINOP, operations, and in accounting. In these roles, she has led planning, implementation and ongoing management of a robust regulatory compliance framework in line with group policies and local guidelines to promote efficient business practices. She is a member of the FINRA National Arbitration and Mediation Committee and serves on the FINRA Series 24 Content Committee. She is also a former member and chair of the FINRA Small Firm Advisory Committee, the FINRA Series 27/28 Content Committee and the FINRA Midwest Regional Committee.

Ms. Lee has more than 14 years of experience in the financial services industry. Throughout her career, she has a record of managing internal/external audits, delivering expansively-scoped technology implementation projects, revamping AML programs, managing securities/investment advisory rules and regulations, and optimizing compliance monitoring procedures.

Ms. Lee is registered and holds Series 7, 14, 24, 28, 66 and 99 licenses, and her background includes roles as FINOP, CCO and CFO.