

Attachment B: Profiles of Small NAC Member Candidates

- ▶ Trinity Lee, President and Executive Director, Heim, Young & Associates, Inc.
(*Nominating Committee Nominee*)
- ▶ Matthew T. Hoffman, Chief Compliance Officer, Cascadia Capital, LLC
(*Petition Nominee*)

Trinity Lee

President and Executive Director, Heim, Young & Associates, Inc.

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.

Matthew T. Hoffman

Chief Compliance Officer, Cascadia Capital, LLC

Matthew Hoffman has almost 40 years of experience as a qualified registered representative. Currently, Mr. Hoffman serves as the Chief Compliance Officer for Cascadia Capital in Seattle, and for Candlewood Securities in Cleveland. He oversees approximately 150 registered representatives across 7 branch locations nationwide. Additionally, he is a Partner at RoundTable Financial Group, a boutique investment advisory firm, where he brings a blend of experience and cutting-edge thinking to investment strategies.

He has also held leadership roles within the financial services industry at JP Morgan, Merrill Lynch and UBS, including Head of Derivatives Trading and Chief Investment Officer. He has served as an Expert Witness for the SEC and several national law firms in securities-related litigation. In this role, he has worked with both plaintiffs and defendants, recently completing 27 cases, 10 depositions, and 3 trials.

Mr. Hoffman is a practitioner and educator within the securities industry. He is an advocate of technological advancements, particularly blockchain technologies, which he believes will significantly reduce trading and sales problems, and improve market efficiency and productivity.

He brings a global perspective to the securities industry, having led sales, trading and investment operations during a 14-year tenure in Tokyo, Hong Kong and London. He maintains his Series 7, 24, 63, 79 and SIE licenses and is a Qualified Expert Witness.