

Attachment B: Profiles of Small Firm Governor Candidates

Carlos Barrientos

Chief Compliance Officer
Invex, LLC

Carlos Barrientos, CRCP®, has over 30 years of experience in financial services both in commercial banking and the securities industry. He is currently the Chief Compliance Officer of Invex, LLC, a FINRA small firm introducing broker-dealer. He is also the Chief Compliance Officer of its affiliated SEC registered investment advisory firms, Invex Advisors, LLC and Invex Next, LLC.

Prior to these roles, Mr. Barrientos was a trader on the Emerging Markets Fixed Income trading desk, executing trades for fixed income corporate and sovereign debt, equities, derivatives, structured products and futures. Having worked at Invex for almost 24 years, he has served in many capacities and manages SEC, NFA and FINRA exams.

He has broad experience regarding the impact of Anti-Money Laundering regulations while managing both US and foreign investors and operations. Mr. Barrientos holds his Series 7, 24, 55, 63, 99 registrations and earned the Certified Regulatory and Compliance Professional (CRCP) designation in 2006.

He also led the international Operations department of the third largest bank in Mexico. Under his leadership the bank was awarded the Quality Recognition Award given by Chase Bank NY, being the only Latin American bank that received the award.

Mr. Barrientos served on the FINRA Small Firm Advisory Committee (SFAC) from 2021 to 2024. He was Chair for two consecutive years (2023 and 2024). He coordinated collaboration with FINRA staff and firms regarding the impact that rules and regulations have on small firms. He was a speaker at the FINRA Small Firm Conference in 2023 and 2024 about the importance of having effective written supervisory procedures and their implementation. He will be speaking at the National Society of Compliance Professionals (NSCP) National Conference in October on a panel titled: Identity Theft: How Reg S-ID & Reg SP Intersect with AML.

Erin Baskett

Chief Executive Officer
Sine Qua Non Capital LLC

As a 20-year industry veteran, Ms. Baskett has held executive positions at various firms over the past 15 years as well as owning a small firm broker-dealer.

During this time, she has launched a number of small firms, led compliance, finance and trading operations, while also managing profitable exits. In addition to her time in the industry, she spent a number of years as a public accountant, tax accountant and auditor. She holds a Masters in Accounting, B.S. in Business with a minor in International Finance, licensed as a CPA, CGMA (Chartered Global Management Accountant), CHRS (Certified Human Resource Specialist) and holds 10 active FINRA licenses.

Over five years ago, Ms. Baskett launched Sine Qua Non Global providing compliance and financial operations support to help small firms secure SEC / FINRA approval and regularly serving as an executive officer of their business on an on-going basis. She has, and currently does, serve as CEO, CCO, COO, FinOP, Options Principal, etc. for multiple small firms. She has worked in many types of brokerage and advisory shops over the years, from dual registered BD/RIAs, institutional only trading desks, traditional retail, online/ fintech retail, robo-advisors, M&A, private placements, research firms,

futures, structured products, crypto, Reg A and Reg D offerings, IPO offerings, underwriting and so on. She also owns a small firm broker dealer - specializing in private placements.

Ms. Baskett also has experience with various global regulators as many of her firms are international. Her firm oversees the daily operations of the business and support accounting, finance, compliance, FINOP, trading operations, regulatory reporting, client management, onboarding, vendor relationships, clearing relationships and changes to, along with overall business development across her clients. Given her broad background, Ms. Baskett understands the issues and struggles of all departments, of the various brokerage business models, and how the regulations and industry issues impact smaller broker dealers to a larger extent versus medium and larger sized firms.

In addition to running small firms, Ms. Baskett has served in various capacities in support of the small firm community over the past decade, from FINRA's District 10 Committee, Regional FINRA committee, Retail Advisory Committee and FINRA's Small Firm Advisory Committee to name a few.