

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

Candidate Name: **Robert Garan**

Title: **Principal - Branch Manager**

Firm: **PHX Financial, Inc.**

Candidate Biography and Personal Statement *(3,000 character limit - approximately 500 words)*

My name is Robert Garan, and I am seeking nomination to serve on FINRA's Regional Committee. I currently serve as the youngest Principal Supervisor and Branch Principal at PHX Financial (Phoenix Financial), where I oversee the daily operations and compliance of a small firm branch office. I was responsible for building this branch from the ground up, handling regulatory filings, infrastructure development, recruiting, and implementing supervisory procedures that uphold the highest standards of compliance.

In my role, I supervise both public equity and private equity transactions, with a strong focus on Rule 506 private placements. I ensure suitability, due diligence, and regulatory adherence while providing guidance to our representatives.

I consider myself a fighter for the financial services industry. One of the things I am most proud of is having personally helped dozens of aspiring wealth managers pass their licensing exams, including the SIE, Series 7, and Series 63. Supporting the next generation as they enter this business is deeply important to me. I see it not only as building careers, but also as helping people create better lives for themselves and their families. I look forward to continuing to mentor and guide more individuals as they break into the industry and build their futures.

I began my career as an intern, later graduating to be a Wealth Management Advisor, and now I am a Principal Supervisor of my own office at Phoenix Financial. I continue to expand my expertise every single day through active participation in FINRA conferences, including multiple Annual Conferences and Small Firm Conferences. I've also been closely involved in regulatory changes such as the adoption of Regulation Best Interest and the transition to T+1 settlement.

Beyond my professional responsibilities, I believe in giving back to both the industry and my community. I was an Eagle Scout, Volunteer Fireman, Marathon Runner, and Entrepreneur.

I am applying for this nomination because I want to be a strong voice for small firms and for the next generation of industry professionals. I bring practical supervisory experience in real world situations, a deep commitment to compliance, and the perspective of someone who has navigated the challenges of building and supervising a branch office from scratch. My goal is to contribute meaningfully to FINRA's mission of investor protection and market integrity while representing the interests of small firms like mine.

Thank you for considering my candidacy.

Robert Garan – (914)703-0349

Optional Link:

LinkedIn Profile: www.linkedin.com/in/robert-garan-73a77b63
