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

Candidate Name: **Harold G. Chaffee, CFA**

Title: Chief Compliance Officer

Firm: NewEdge Securities, LLC

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

Biography

Harold G. Chaffee is Chief Compliance Officer for NewEdge Securities, LLC. In his role as Chief Compliance Officer, Harold provides compliance oversight to the firm and all their affiliated financial professionals, and promotes and enhances the firms' culture which encourages ethical conduct and commitment to compliance.

Harold has more than 30 years of experience as a compliance professional, including more than a decade as a CCO, as an Examiner with FINRA, as a Capital Market Specialist with the Federal Reserve Bank of Atlanta, and more than a decade as a consultant for broker-dealers, investment advisors, and funds. He earned his Bachelor's Degree in Business Administration – Finance. Harold currently holds FINRA Series 7 and 24 licenses, and designations including Chartered Financial Analyst (CFA), Certificate in Investment Performance Measurement (CIPM), and Certified Securities Compliance Professional (CSCP).

Mr. Chaffee has volunteered in the industry by previously serving on the FINRA South Region Committee, serving as a FINRA Enforcement Hearing Panelist, serving as the Deputy Chair of the Disciplinary Review Committee for the CFA Institute, serving on the Compliance Council of the Financial Services Institute, and by speaking at various industry conferences including the National Society of Compliance Professionals, the Financial Markets Association, and the Georgia Bankers Association.

Personal Statement

I believe that my broad experience in the industry as a compliance officer, regulator, and consultant provides me with a unique perspective and ability to help represent our member firms. It would be an honor to continue to serve our industry as a District 9 Representative on the FINRA North Region Committee.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/harrychaffee/**