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

Candidate Name: **Don Chaney**

Title: SVP/Chief Compliance Officer Firm: Stephens Inc.

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

Biography:

Don Chaney is currently Senior Vice President/Chief Compliance Officer at Stephens Inc., where he has worked for nearly 25 years. He joined Stephens in 2001 as an Equity Research Associate covering power supply and semiconductor manufacturers for the Firm's Research Department. In 2002, he was promoted to Research Analyst with responsibility for covering larger cap analog semiconductor companies. He transferred to the Firm's Legal Department in 2004 and initially focused on regulatory issues within the Research Department. He became Compliance Counsel at the Firm in 2007 and was then promoted to his current position in August 2015. Prior to joining Stephens, he worked for nearly ten years as a business news reporter for The Arkansas Democrat-Gazette.

Mr. Chaney holds a J.D. from the William H. Bowen School of Law, where he graduated in 2003 with high honors. He graduated in 1990 from the University of Arkansas at Little Rock with a BA in English Literature and a minor in Writing. He also successfully completed the curriculum of the FINRA Institute at Wharton's Certified Regulatory and Compliance Professional (CRCP) Program in 2010.

Personal Statement:

As the CCO for a mid-sized, full-service, dually registered investment advisor/broker-dealer, my role touches on nearly every aspect of our industry, including retail investor services, institutional sales and trading, research, and corporate and municipal finance. I feel this provides me with a unique depth and breadth of understanding of the ever-changing and ever-growing regulatory challenges facing financial services firms of all sizes and business models. I hope to serve as the District 5 Representative for the South Region Committee because I believe in smart and effective regulation that's truly designed to protect investors, as well as encourage capital formation and efficient markets. It is imperative for industry repBiography:

Optional Link:

LinkedIn Profile: