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

Candidate Name: **Shawn Barko**

Title: Chief Compliance Officer

Firm: Raymond James & Associates, Inc

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

Shawn Barko is Senior Vice President and Chief Compliance Officer for Raymond James & Associates, Inc. (RJA), a full-service broker/dealer and clearing firm. He has 30 years of compliance experience in the financial services industry, with an emphasis on wealth management. Mr. Barko received a bachelor's degree in Economics from West Virginia University, and currently holds Series 4, 7, 9, 10, 14, 24, 31, 63 and 65 licenses, a Certified Regulatory and Compliance Professional (CRCP) designation from the FINRA Institute at Wharton, and the Accredited Investment Fiduciary (AIF) designation from FI360. He also earned a certificate from the Securities Industry Institute (SII) from SIFMA/Wharton and has previously consulted with FINRA (NASD at the time) on education and training working groups. He is a FINRA arbitrator. Outside of work, Mr. Barko gives back to the community by serving on the United Way Suncoast Finance Committee and by supporting the Meals on Wheels program in Pinellas County, FL, for which he has delivered meals to homebound seniors for 29 years.
Personal Statement I am running for this seat again after having the privilege of representing District 7 for the past 3 years. I am passionate about the financial well-being of clients, the regulatory protections afforded to investors, and the financial services industry overall. I believe in working closely with business leaders and regulators on common sense solutions to everyday challenges and want to support firms and investors by listening and providing experienced, constructive feedback in partnership with industry peers and FINRA. I experienced FINRA's willingness to listen to its members firsthand over the past 3 years on this Committee. Having worked with RJA as it grew from approximately 500 financial advisors to nearly 3800, I feel that I understand the unique challenges facing both medium and large firms. In addition, while I have many years of experience in an employee model, I also have over 25 years of experience working side-by-side with Raymond James Financial Services (RJFS), an affiliate broker/dealer that operates in an independent contractor model. As a member of the committee, my experience with multiple firm sizes and structures would enable me to represent the diverse needs and concerns of firms in District 7 and across the industry. I respectfully ask for your vote again to sit on the Southern Region Committee representing you, the members of District 7. Thank you for your consideration.

Optional Link:

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