

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

Candidate Name: **Kurt Sims**

Title: **Compliance Manager, Interim Chief Compliance Officer**

Firm: **First Citizens Investor Services, Inc.**

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

I'm seeking your support for election to the FINRA South Region Committee. Having previously served on the Committee for six years (2019 - 2024), I understand first-hand the importance of collaboration between FINRA and member firms. During my prior tenure, I worked to ensure that the perspectives of my peers were well-represented in discussions about regulatory priorities, practical challenges, and industry best practices.

After completing my degree in Risk Management & Financial Planning, I spent six years as a securities examiner with a state securities regulator and was a member of a NASAA Project Group before transitioning to the private sector.

I spent the next ten years working in the compliance department at a mid-sized regional broker-dealer and investment advisor. In this position, I had the opportunity to gain extensive experience in many different aspects of compliance. Much of my last four years in this role was focused on compliance with Regulation Best Interest/Form CRS, DOL PTE 2020-02, and the SEC Marketing Rule.

In July 2024, I took on a new challenge as a Compliance Manager with First Citizens Investor Services, Inc. In this role, I manage a team of industry veterans who primarily focus on regulatory change management, policies and procedures, regulatory examinations, advertising, and training, in addition to many other areas of the business. In April 2025, I was named Interim Chief Compliance Officer over the broker-dealer until a permanent replacement is in place.

I face many of the same daily challenges that you do - balancing evolving regulatory requirements, firm business needs, and the responsibility of fostering a strong culture of compliance. I feel fortunate to have worked on both sides of the fence, and as your elected representative, I will continue to elevate your voices in dialogue with our regulators, encourage practical, effective approaches to compliance, and attempt to strengthen communication between FINRA and member firms. I'm committed to representing the interests of our region and would be honored to earn your vote. If you have any questions or would like to discuss your concerns in advance, I would welcome the conversation (kurt.sims@firstcitizens.com).

Optional Link:

LinkedIn Profile: **www.linkedin.com/in/kurt-sims-compliance**