Candidate Profile Form—SFAC Election (New York Region) (*this page will be displayed on finra.org*)

Candidate Name: **Kathleen Cawley**

Title: Chief Compliance Officer Firm: Roosevelt & Cross Inc.

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

Kathleen Cawley ("Kathy") is currently the Chief Compliance Officer of FINRA Member Firm Roosevelt & Cross Inc. and an independent consultant, with over 30 years of Global Markets and Compliance expertise, and extensive management and practical experience in legal, compliance and supervisory activities of retail, institutional and proprietary trading staff. Possessing an inclusive knowledge of SEC, CFTC, State and Self-Regulatory Agency rules, as well as expansive knowledge of trading and clearing operations to consistently drive revenue, reduce costs and add value to the business.

Kathy also works with Financial Industry Service Group LLC, a compliance consulting firm, and has done so since 2017 for multiple projects; served as a consultant for a FINRA registered Broker/Dealer as an options principal until December 2022; and previously served as a compliance consultant for another FINRA registered Broker Dealer.

Until April 2017, Kathy was Director and Compliance Executive at Bank of America Merrill Lynch Global Markets. Kathy was the primary Compliance Executive point of contact in Global Markets Compliance for Regulatory Reform efforts in developing and implementing a comprehensive compliance program for Swaps and Derivative Products regulatory requirements under CFTC and SEC regulations required under Title VII of the Dodd-Frank Wall Street Reform and Consumer Protection Act. Prior to that assignment, Kathy held various executive compliance roles at Bank of America affiliates and predecessor entities.

Previous to Bank of America, Kathy held a variety of compliance and business roles for several firms in both an institutional and retail capacity, including Bear Stearns & Co., Inc., Institutional Direct, Inc., Fleet Securities, Inc. and Hornblower Fischer & Co., Inc. covering both the U.S. and international markets, and began her financial services career at Prudential-Bache & Co.

Kathy holds a Bachelor of Science in Business Administration from the State University of New York, College at Brockport. She is an Industry Arbitrator for Financial Industry Regulatory Authority, Inc. ("FINRA") and a member of the Securities Industry and Financial Markets Association Legal and Compliance Society, and over the course of her career has been active in various industry associations' committees and organizations. Kathy also holds a number of professional industry licenses through her affiliation with FINRA-registered Broker/Dealers.

Why am I Running? To provide insight and feedback to FINRA on the potential impacts new or revised rules and interpretations have on small firms and their employees. I respectfully ask Firm Representatives to cast their vote for me based on my biography. Thank you!

Optional Link:

LinkedIn profile: