

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

Candidate Name: **Robert Hackel**

Title: Chief Operating Officer

Firm: R.F. Lafferty & Co. Inc.

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

Robert Hackel is a seasoned financial executive with over three decades of experience in the securities industry. Robert has built a distinguished career marked by leadership, operational excellence, and a deep understanding of capital markets.

Robert began his career at Pershing LLC, one of the industry's leading clearing firms. There, he gained foundational experience on the trading operations desk, where he developed a thorough understanding of trade processing, settlement, and the critical infrastructure supporting financial markets.

Following his tenure at Pershing, Robert joined R.F. Lafferty & Co., Inc., a full-service broker-dealer headquartered in New York City. Over the course of more than 20 years with the firm, Robert rose to assume senior leadership responsibilities as Chief Operating Officer. Today, he oversees the day-to-day operations of R.F. Lafferty, managing a team of over 75 professionals across multiple divisions, including retail brokerage, SEC-registered investment advisory (RIA) services, institutional sales and trading, market making, research and investment banking.

Under Robert's leadership, R.F. Lafferty has expanded its capabilities while maintaining a client-first culture rooted in family values, integrity and service. As Chief Operating Officer, Robert expanded R.F. Lafferty's clearing relationships to include both Pershing Bank of New York Mellon and RBC, alongside enhanced compliance systems integration and growth of an active investment banking division. He has played a pivotal role in the firm's modernization and expansion, ensuring its offerings remain competitive and compliant in an ever-evolving regulatory landscape. His deep knowledge of both front and back-office functions allows him to lead with a balanced approach, combining operational discipline with strategic vision.

Robert holds the Series 24, 4, 87, 55, 7, 65 and 63 licenses. Robert has served two terms on FINRA's District 10 Committee and serves on the board of the National Investment Banking Association (NIBA).

Optional Link:

LinkedIn profile: <https://www.linkedin.com/in/robhackel/>