

Attachment B: Profiles of Small Firm Governor Candidates

Carlos Barrientos

Chief Compliance Officer

Invex, LLC

Carlos Barrientos, CRCP® has over 30 years of experience in commercial banking and the securities industry. He is Chief Compliance Officer of Invex, LLC, a FINRA small firm introducing broker-dealer, and its affiliated SEC registered investment advisory firms, Invex Advisors, LLC and Invex Next, LLC.

Prior to these roles, he was a trader on the Emerging Markets Fixed Income trading desk, executing trades for fixed income corporate and sovereign debt, equities, derivatives, structured products, and futures. He has worked at Invex for almost 25 years and manages SEC, NFA, and FINRA exams.

He has experience with Anti-Money Laundering regulations in connection with US and foreign investors and operations. He holds Series 7, 14, 24, 55, 63, and 99 registrations and earned the Certified Regulatory and Compliance Professional (CRCP)® designation in 2006.

Barrientos led the international Operations department of the third largest bank in Mexico and received the Quality Recognition Award from Chase Bank NY, the only Latin American bank to receive the award.

He serves on the FINRA South Region Committee (2026). He served on the FINRA Small Firm Advisory Committee (SFAC) from 2021 to 2024 and was Chair for two consecutive years (2023, 2024). He coordinated collaboration with FINRA staff and firms regarding the impact of rules and regulations on small firms.

He has been a speaker at the FINRA Small Firm Conference, FINRA webinars, and the National Society of Compliance Professionals (NSCP) annual conference. In February 2026, he moderated an NSCP Regulatory Interchange webinar on FINRA's Exam Program and Considerations for 2026.

Jay Gettenberg

CEO and FinOp

ACI Capital Markets, LLC

Jay Gettenberg is Managing Partner and CEO of ACI, a provider of FinOp licensing and regulatory financial reporting for broker-dealers. He serves as CEO and FinOp of ACI Capital Markets LLC, ACI's affiliated FINRA-member broker-dealer.

Founded in 1984, ACI is a family-operated business. Gettenberg's early involvement at the firm provided him with experience in net capital rules, regulatory compliance, and broker-dealer

operations. ACI currently serves more than 200 FINRA member broker-dealers, representing over 7% of all FINRA member small firms.

He supervises a team of 38 full-time professionals, including 22+ licensed FinOps. ACI provides regulatory accounting and reporting solutions, including FOCUS reports, SSOI filings, Form Custody, SIPC reporting, PCAOB audit coordination, and FINRA/SEC exam support. Services include FinOp registration, regulatory financial reporting, regulatory bookkeeping, customer reserve computations, ICOC implementation, and FINRA New Member Application support. Over the past four years, ACI has processed more than 100 FINRA membership applications.

Gettenberg has been registered at more than 60 broker-dealers and has served as FinOp for firms in private wealth management, institutional execution, market making, proprietary trading, repo and reverse repo, investment banking, private placements, mergers and acquisitions, third-party marketing, omnibus clearing, and correspondent clearing. He has served on FINRA's District 10 Committee, FINRA's Small Firm Advisory Committee, and the NYSSCPA Stock Brokerage Committee. He attends FINRA conferences and speaks on industry panels.

He led a two-year dialogue with SIPC that resulted in adoption of SIPC's first materiality threshold for Agreed-Upon Procedure reports. He engaged with FINRA staff regarding Series 99 registration ambiguities, contributing to a 2025 FAQ update that clarified registration requirements for outsourced back-office personnel. He has advocated to Congress for removal of PCAOB oversight of broker-dealer audits.