

Candidate Profile Form—SFAB Election

Candidate Name: Dock David Treece

Title: Vice President / Chief Compliance Officer

Firm: Treece Financial Services Corp.

Candidate Biography and Personal Statement

Dock David Treece is a partner at Treece Financial Services Corp., where he serves as vice president and chief compliance officer. In addition, Treece also serves as a partner at Treece Investment Advisory Corp., a state-registered investment advisory firm. Prior to his current roles in both family-owned firms, Treece worked at a multinational mutual fund family and a separate retail firm. He has appeared on several television and radio programs and been published in numerous industry publications. Mr. Treece holds Series 7, 24, 27, 66 and 99 registrations. He graduated from the University of Miami in Coral Gables, Florida, with a B.A. in Finance.

Optional Links:

Link to personal website, resume or CV: www.TreecelInvestments.com

Link to YouTube video: www.bloombergview.com/articles/2013-01-06/big-bank-regulator-targets-the-little-guy