Candidate Profile —District Committee Election

Candidate Name: Aimee Blinder

Title: VP, Compliance Firm: National Planning Corporation

Candidate Biography and Personal Statement

I am a compliance industry professional with over 16 years of experience in the BD/RIA independent contractor channel. My areas of expertise include FINRA and SEC Rule Interpretation, Anti-Money Laundering Programs, Advertising and Sales Literature Requirements, Field Examination Programs, Firm Element and Annual Compliance Meeting Development, Licensing and Registration Requirements, NASD 3012/FINRA 3130 Supervisory Control Programs, and Risk Management.

I ultimately served as Chair of the Financial Services Institute's Compliance Council, with a term from 2008-2013. I hold a Series 7, 24, 53, 66, 99, 3 and the following designations: CAMS (Certified Anti-Money Laundering Specialist) and CRCP (Certified Regulatory and Compliance Professional).

As Vice President, Compliance, for National Planning Holdings, Inc. (the holding company for National Planning Corporation and its three sister firms) I am responsible for the day-to-day operations of the NPH Compliance Department. The department consists primarily of the Compliance Support Unit (CSU) and the Supervisory Control Unit (SCU). The CSU is responsible for a range of support efforts, such as analysis of regulatory rule proposals and amendments, projects with a focus on compliance systems and assisting in the creation of compliance oriented forms, policies, and alerts. The SCU provides support and guidance to the network in relation to each firm's supervisory control program, annual AML audits, and investment advisory reviews.

In recent years we have witnessed great change in the regulatory environment. Change without sufficient basis can be detrimental to the industry, representatives, and investors. The primary benefit of the FINRA District Committee structure is the collaborative forum it provides FINRA and industry liaisons to exchange information, ideas, and meaningful solutions. Ultimately, informed change is the goal. So ensuring that regulators and the industry can appreciate and understand each other's perspectives allowing them to work together to form a reasonable path forward is crucial.

I am fiercely dedicated to remaining current with the ever-changing regulatory landscape in terms of both regulatory rule assessment and real-life business application. As part of this commitment I am engaged in a number of industry roundtables, which allows me to participate in striving towards best practice standards and consensus building. I feel I possess a balanced combination of industry knowledge and reasonableness that will allow me to properly represent the voices of District 2 and the industry at large.

I very much appreciate your consideration and will be devoted to ensuring my time on the committee is candid, purposeful, and productive.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____