

Candidate Profile — District Committee Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

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Candidate Profile —District Committee Election

Candidate Name: Kathy VanNoy-Pineda

Title: EVP, Office of Compliance Counsel

Firm: LPL Financial

Candidate Biography and Personal Statement

BIO:

I have been in the financial services industry for 30 years, starting my career as a registered rep at a small Midwest firm. I joined TIAA-CREF in New York City as a registered representative and was there for 19 years in a variety of sales positions and, starting in 1991, in my first compliance position, eventually serving as Chief Compliance Officer of Products and Chief Compliance Office of Sales. While working full time, I completed my J.D. at St. John's University. In 2004 I joined Smith Barney as a Director of Early Dispute Resolution. While at Smith Barney, I also led the Compliance Education & Communication function. In 2008 I joined LPL first in Charlotte and now in San Diego, where I served as Brokerage Chief Compliance Officer for 5 years. I now serve as Compliance Counsel for LPL. LPL has 14,000 representatives and is the largest broker-dealer in the independent space. Of note during my career, I have: 1. Been a member of the National Society of Compliance Professionals since 1993, board member from 2003-2005 and Board Chair in 2005-2006; 2. led Smith Barney's efforts to gain greater flexibility from FINRA in the delivery of the Annual Compliance Meeting, resulting in what we know today as ACM on demand; and 3. Served on MSRB Series 51 test committee. I am a frequent speaker at industry conferences, including FINRA - SEC CCO Outreach, IRI, NSCP, and BISA. I earned the FINRA-Wharton Certified Regulatory and Compliance Certification. I am a member of the SIFMA and FSI Compliance Committees.

PERSONAL STATEMENT:

I have experience in the brokerage industry as both a producing registered representative and as a compliance professional. During my career I have worked at small firms and very large firms. Because of my diverse experience, I can bring experience to and add positive energy to the district committee. I have leadership experience in both industry organization and also as an executive at prominent corporations. I also have a clear perspective as a consumer about the type of protections that our industry and regulators need to have in place to protect consumers. I would be honored to serve our industry by once again representing constituents on the FINRA Districts Committee 2.

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