

Candidate Profile — District Committee Election

Candidate Name: Jeff Wayne Branch

Title: Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

Jeff Branch has been in the wealth management business since 1994. Currently Jeff is the Complex Manager, Executive Director for Central California Nevada markets which include Monterey, Salinas, Fresno, Visalia, Bakersfield, Las Vegas and Summerlin with 139 financial advisors with approximately \$14 billion assets under management. Please find below for your review a list of other positions held in the industry.

1994-1998 Merrill Lynch, Financial Advisor

1998-2004 UBS, Financial Advisor/producing manager/non-producing manager

2004- current Smith Barney/MS, Complex Manager

After being in the industry for 20 years, I am very interested in serving on FINRA's District Committee given its importance to our firm, the industry, and the investing public.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Cosmo Gould

Title: Principal

Firm: LPL Financial

Candidate Biography and Personal Statement

I have submitted my name for consideration for the open large firm seat for the District One Committee. I am currently a supervising principal with LPL at a large OSJ located in District One. In addition, I am also the Chief Compliance Officer of an SEC Registered Investment Advisor, Global Retirement Partners, LLC. Prior to my current positions, I was Chief Compliance Officer of a Broker Dealer and RIA, Financial Telesis, Inc. Financial Telesis had nearly 500 registered representatives before it was acquired by LPL in 2014. Before joining Financial Telesis, I was a Senior Examiner with FINRA responsible for leading routine examinations of member firms' sales, trading, underwriting, financial, supervisory and organizational practices to determine compliance with SEC and FINRA rules and regulations. I currently hold Series 7, 9, 10, 24, 63, and 66 licenses.

I am interested in using my knowledge and experience as a Financial Advisor, Branch Manager, Chief Compliance Officer, and a Regulator to support FINRA's investor protection mission. I believe I have a unique perspective having worked as a regulator and as a CCO. I enjoy being involved in regulations and believe I can make a meaningful difference as a member of a district committee.

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