

Candidate Profile — District Committee Election

Candidate Name: MacGregor Maitland

Title: Assistant Vice President-Business Practices

Firm: Lincoln Financial Securities Corporation

Candidate Biography and Personal Statement

I have 15 years experience working in the financial services industry with the past 11 working at an independent broker/dealer and investment advisory firm. I have experience working in Trading, Operations and Compliance. I currently serve on the Compliance Council for the Financial Services Institute (FSI). I obtained the Certified Regulatory & Compliance Professional (CRCP) designation from the FINRA Institute at the Wharton School. I currently hold the following FINRA licenses: 4, 7, 24, 53, 63, 65 and 99.

I am running for a seat on the District Committee as I feel it is imperative for member firms to have ongoing dialogue and collaboration with FINRA. As an industry it important for investor protection to remain a top priority. In addition I feel it is crucial for member firms to have input with FINRA as it pertains to current regulatory issues, updated policies and new/proposed regulations. I possess a strong knowledge of the issues facing the securities industry. I would welcome the opportunity to serve on the District Committee and be in a position to provide perspective and collaborate with other member firms and FINRA on the issues facing our industry.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____