

Candidate Profile — District Committee Election

Candidate Name: Earle F Hollister

Title: Compliance Manager, Regulatory Contact and Perform Duties Firm: St Germain Securities Inc

Candidate Biography and Personal Statement

This candidate brings 25 years of Securities business background from being a registered representative with Merrill Lynch and building a book, transitioning after 5 years into an Agency Compliance Officer with a branch of The New England, then gaining Securities and Municipal Principal Registrations while an Agency Supervisory Officer for 15 years with Massachusetts Mutual Life Insurance and its broker-dealer MMLISI. The past 4 years and currently I am serving as Compliance Manager for St Germain Securities/St Germain Investment Management Inc, a dually registered IA/BD. In addition to my current duties performing the day to day small firm Compliance functions, I have recently been certified as a FINRA non-public arbitrator, and teach Undergrad and Graduate Finance and Economics courses as an adjunct Professor at a local extension of Cambridge College. Current duties also involve maintenance of the Compliance Culture at St Germain, the WSP's, suitability approval of all new business, firm element CE development and implementation, and regulatory contact for Compliance related issues. Besides the Compliance program, I am insurance licensed and maintain the integrity of the insurance licensing and registration process and renewal programs. My background extends into the many diverse areas of the Insurance/Securities business, consistent with my individual growth in the Financial Services Industry. Much of this information is available on my CRD and also contained on my Arbitrator's Individual Profile.

Prior to entering the Securities disciplines, I held an insurance license and performed policy sales and services for several Insurance carriers. My background beyond the Securities world extends into Engineering, Engineering Management, Employee Training and Safety Management, Plant Management and Human Resources, and Teaching(both adult and high school). I hold an Engineering Degree, an MBA with accounting concentration, and completed some Master level courses towards a teaching degree. The teaching and coaching background has help me in the firm element process of education for adult learners. Being a senior, I find senior issues a top priority.

I firmly believe that my desire, drive, and background would make me a viable candidate for District Committee. I Commit to serve to the best of my ability should I be chosen and consider it a an honor to have the opportunity to apply.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____