

Candidate Profile — District Committee Election

Candidate Name: Dave Banerjee

Title: Chief Compliance Officer

Firm: Montecito Advisors, Inc.

Candidate Biography and Personal Statement

FINRA District Committees serve on the local level to hear regulatory concerns of firms and serve on disciplinary panels. With over 30 years as a FINRA member, Dave Banerjee is an ideal candidate. As a compliance and regulatory consultant to small and mid-sized firms, Dave has unique insight of the burden placed on smaller broker-dealer firms by their regulatory commitments. In recent years Dave has noticed the steady decline in new broker-dealer firms. The reason for this, in part, is due to the regulatory requirements placed on small broker firms. Current requirements have a tremendous impact on their ability to invest in building their business from both a financial and sales management perspective.

Being elected to the District Committee is an opportunity to provide experienced oversight on proposed regulatory initiatives. The only way to improve the process and effect change is to participate in the process and advocate for small member firms.

During the recent campaign for NAC, Dave spoke to several small firms that are apathetic toward FINRA. Many have given up. They feel the system has abandoned them and that they cannot change it. Dave's mission as a District 2 Committee member is to bring a strong small firm voice to FINRA and influence positive change. Dave believes there is a way for the regulatory process to get quantifiable results. With your support he will be a voice for small firms and take the necessary steps to improve the regulatory process for small brokers.

Background of Dave Banerjee, CPA

Dave Banerjee has been a member of FINRA since 1984 and currently holds licenses: Series 4, 7, 24, 27, 53, 55, 63, 65, 79, and 99. As CEO of RND Resources, Inc, a compliance consulting firm, Dave provides customized compliance solutions, risk assessments, audit, and regulatory services to small and mid-sized firms. As a CPA firm, Dave is a PCAOB member auditor subject to inspections. Dave's background makes him uniquely qualified to serve the District committee. He has expert knowledge of the regulatory process and personal understanding of small firm challenges.

Dave has also handled disciplinary matters for small firm members by providing expert witness testimony, forensic accounting, audits, and support for financial fraud investigations. He has thorough understanding of the disciplinary process for securities regulation.

In addition to the hands-on work Dave has done with member firms, he is also an industry conference speaker and regularly conducts compliance meetings in Los Angeles and New York.

Elect Dave for the FINRA District 2, Small Firm committee seat.

Optional Links:

Link to personal website, resume or CV: LinkedIn: <https://www.linkedin.com/in/davebanerjeecca>

Link to YouTube video: Website: www.finracompliance.com

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Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: David J. Martin

Title: CEO/CCO

Firm: Keystone Capital Corporation

Candidate Biography and Personal Statement

David Martin is the CEO and CCO of Keystone Capital Corporation, a FINRA member firm and SEC Registered Investment Advisor. Mr. Martin has been registered with Keystone for nearly a decade as a Principal. He is responsible for the oversight of registered representatives, implementation of compliance policies, procedures and controls as well as the day-to-day operations of the firm.

Mr. Martin is a regular panel speaker at FINRA conferences and is the firm's executive representative responsible for all regulatory matters. He also maintains FINRA series 7, 24, 66 and 99 licenses.

Mr. Martin obtained the FINRA/Wharton Certified Regulatory Compliance Professional designation from FINRA/Wharton in 2010 and is committed to embodying a culture of compliance. In addition to his responsibilities at Keystone, Mr. Martin is a partner at Monahan-Roth, LLC, a securities consulting expert witness firm.

Outside the workplace, Mr. Martin is an avid sailor, scratch golfer and FAA VFR private pilot.

Optional Links:

Link to personal website, resume or CV: www.kccbd.com, www.monahan-roth.com

Link to YouTube video: _____