

## Candidate Profile — District Committee Election

Candidate Name: Robert D. Lawson

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Title: Compliance Consultant & Principal

Firm: Gardner Financial Services, Inc.

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### Candidate Biography and Personal Statement

I would like to begin by thanking the voting members for your consideration in my desire to serve as a small firm Committee Member for FINRA District 4. Serving on the Committee would truly be an honor.

Throughout my 30+ year career in the securities industry, I have held numerous managerial and leadership positions with publicly traded and privately held broker-dealers. My years of experience includes dealing with a multitude of issues as a Registered Securities and Options Principal, Compliance Officer, Branch Manager, and Registered Representative.

I am a Compliance Consultant and Principal for Gardner Financial Services, Inc., a small member Broker-Dealer based in Minnesota. In this role, I advise the President and Chief Compliance Officer on numerous compliance-related matters. I am also the President and Chief Compliance Officer of Barrington Capital Management, Inc., a Registered Investment Advisory firm which I established in 1988. In addition, I proudly serve as a FINRA and NFA Dispute Resolution Arbitrator, in which I preside over industry disputes. I am a Qualified Neutral under MN Rule 114 of Standard Practice in Mediation and Arbitration. In another consulting capacity, I engage as a litigation consulting expert pertaining to securities and insurance matters.

With a deep understanding of equity and index options, I am regarded as a noted expert within the industry. I have been authorized by the Option Industry Council (OIC) to present their series of seminars, ranging from basic concepts to advanced multi-legged trades and hedging techniques. Educating investment professionals and individuals has long been a passion of mine.

As an industry executive, I continue to deepen and broaden my financial and regulatory knowledge on FINRA rules, regulations, and policies. I have attained several industry certifications including the Certified Fraud Examiner (CFE®) and Accredited Investment Fiduciary (AIF®) designations. Currently, I am pursuing the Certified Anti-Money Laundering Specialist (CAMS) designation to further my expertise of AML financial crime detection and prevention procedures.

My interest in representing District 4 stems from a strong desire to apply my knowledge, enthusiasm, and experience to current regulatory issues and trends. As a FINRA and NFA Arbitrator, I value actively engaging within our industry. In this role as a Committee Member, I would be able to contribute and give back in another capacity.

Given my professional background, I possess the problem solving and executive leadership skills to excel as a panelist. The experience I have acquired serving as a Registered Principal, Compliance Officer, and Arbitrator is consistent and transferable for the requirements and responsibilities of this position. I would be effective in applying my expertise in the development of objective and unbiased solutions for issues which face our industry.

I am confident, that if elected, my extensive knowledge, experience, and passion would be a valuable asset. Given the opportunity to serve, I would truly value being a contributor to the process and development of FINRA rules, regulations, and policies.

I am sincerely grateful for your consideration and I would be honored to serve as a valued team player on the FINRA District 4 Committee.

### Optional Links:

Link to personal website, resume or CV: [http://media.wix.com/ugd/4793c9\\_9bf7f7de260f4d7eafd92f305094e96a.pdf](http://media.wix.com/ugd/4793c9_9bf7f7de260f4d7eafd92f305094e96a.pdf)

Link to YouTube video: \_\_\_\_\_

## Candidate Profile — District Committee Election

Candidate Name: Nancy Richter

Title: Chief Compliance Officer

Firm: Cutter & Company, Inc.

### Candidate Biography and Personal Statement

#### BIO:

Nancy Richter is the Chief Compliance Officer of a privately held, independent contractor firm. She currently holds the following licenses: 4,7,10,24,53,55,63 and 65. Prior to being named CCO, Nancy was the Operations Manager of the firm.

By being in the business for over twenty years, working for both employee and independent contractor firms, Nancy has the background and knowledge to help create solutions to the ever changing world of compliance and regulation.

Nancy's career in the securities business began in 1990, with the majority of her experience centering on compliance. Moving first into the position of Co-Chief Compliance Officer and now in the role of Chief Compliance Officer, Nancy is currently responsible for filing 4530 reports, responding to customer complaints, being the primary contact working with regulators during broker dealer audits and responding to regulatory inquiries. Additionally she has the overall responsibility to ensure successful completion of all branch office audits, the implementation, tracking and completion of the firm element continuing education requirements, the firm's annual compliance meeting, the supervision of broker correspondence, review and approval of retail communications including broker web sites, in addition to the daily review of branch manager reports.

#### PERSONAL STATEMENT:

I am running for the District Committee 4 small firm seat because I consider it an exciting opportunity and challenge. I believe that with my exposure to so many areas of the securities business, I would have the expertise to provide feedback on rule proposals or be able to explain from a small firm perspective how a rule might impact or how it might not be easily implemented by a small firm. I consider myself to be a team player, who knows how to give an opinion as well as listen to others, as well as being objective and unbiased. I believe I can bring valuable information and insight to my colleagues by sharing with them new developments from industry experts at the same time expanding my knowledge of the industry. I would very much appreciate your vote.

#### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_

## Candidate Profile — District Committee Election

Candidate Name: Tim Schulte

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Title: Chairman

Firm: Smith Moore

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### Candidate Biography and Personal Statement

I am the Chairman of the Board of Smith Moore.

Smith Moore is a dually registered financial services firm; structured as both a FINRA registered broker-dealer and SEC Registered Investment Advisor (RIA).

Founded in St. Louis in 1913, Smith Moore is one of the oldest investment firms established west of the Mississippi River. We are one of only 11 remaining independent privately-owned brokerage firms that participated in the legendary 1956 Ford Motor Company IPO.

I am truly honored to be entrusted to lead a firm of such integrity and tradition. For over a century, Smith Moore has earned a reputation for exceptional client service with a personal touch. Smith Moore continues to be a 100% employee-owned firm, managed by practicing Financial Advisors. I am very proud that Smith Moore has a long history of profitability and maintains an exemplary compliance record.

I joined Smith Moore as a Financial Advisor in 1989, after graduating Quincy College where I was an honored All-American soccer player.

I became an equity partner of the firm in 1994, and was appointed to the Board of Directors in 2001. In 2011, I was elected as Chairman of the Board.

I also serve on the firm's Executive Committee, and oversee the firm's marketing and advertising campaigns. I am a producing Financial Advisor, and currently hold the Series 4, 7, 24, 63, and 65 licenses.

I am an active participant in SIFMA and serve on their Private Client Committee. I am also a member of the RBC Advisory Council. Missouri Governor Matt Blunt appointed me to the Missouri Investment Trust Board of Advisors in 2008.

Smith Moore has grown impressively in the past 10 years. When I was elected to the Board of Directors in 2001, Smith Moore had one office, located in downtown St. Louis. Today, we have 8 branch offices in Missouri, Illinois, and Kansas. And now Smith Moore serves over 10,000 client accounts, and has approximately \$3 billion in assets under management.

I am also proud of leading the transition of Smith Moore's business mix away from an all transactional model to a fee based model. 10 years ago, Smith Moore had no fee based revenue; today, advisory fee revenue accounts for 45% of the firm's total revenue; our goal is to be at the 60% level by 2018.

As the largest shareholder of Smith Moore, I have a vested interest in this industry. As a producing financial advisor, I bring the insight and perspective that understands the challenges that small firms and their advisors are facing.

I will bring that view and a voice to FINRA District 4 that will clearly advocate for the needs of the small firm.

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Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_