

John J. Dillon
Chief Compliance Officer
FSC Securities

Career Biography of John J. Dillon

I have been in the industry for 26 years. I began my financial services career at the New York Stock Exchange (NYSE) in June 1989 as a regulator in the Sales Practice Review Unit of the Member Firm Regulation Division. I worked my way up to a Principal Compliance Officer in the Sales Practice Unit where I supervised and lead investigations and examinations of medium to large sized NYSE member firms.

In October 2001 after 13 years with the NYSE I accepted the position of Chief Compliance Officer for NYSE member firm HD Bros & Co. in New York where I lead the Compliance efforts for 3 1/2 years.

In April 2005 I accepted the position as the Senior Vice President/Midwest Divisional Compliance Director within the Citigroup Smith Barney Compliance Department. I held this position for only a year when I was promoted in August 2006 to National Director of the Sales Practice Surveillance Unit leading a staff of 30 plus compliance professionals that provided oversight, surveillance and compliance advisory services to 5 divisions, 22 regions, 650 branch offices and 13,000 Financial Advisors.

After Morgan Stanley acquired Smith Barney in June 2010 I relocated to Atlanta, Georgia and accepted the Chief Compliance Officer position at FSC Securities Corporation responsible for the AML, Branch Office Examinations, Customer Complaints, Surveillance and Advertising Review Departments and all regulatory examinations and inquiries. I am currently the Chief Compliance officer for both FSC Securities Corporation and Woodbury Financial Securities which consists of 3,000 Financial Advisors for the two Firms.

Securities Registrations: I currently hold the Series 14, 24, & 7 securities registrations.

Degree/College: BBA in Finance from Pace University

Why Am I Running For A Seat On The District 7 Committee?

Predicated on my 26 years in the regulatory and compliance arena I believe that I would bring a wealth of knowledge to the District Committee and would be able to provide valuable insight on how large independent and full service broker/dealers work from the top down.

Also, as a former regulator with the NYSE for 13 years I can offer a unique perspective from both sides of the fence. Having experience as a regulator and as a Chief Compliance Officer I can bridge the gap between the two entities to help develop amicable and fair regulations for our industry.

Candidate Profile — District Committee Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

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