

Candidate Profile — District Committee Election

Candidate Name: Eric A. Bederman

Title: Chief Operating and Compliance Officer

Firm: Bernardi Securities, Inc.

Candidate Biography and Personal Statement

Biography

Eric Bederman is the Chief Operating & Compliance Officer and a shareholder of Bernardi Securities, Inc., a Chicago based broker dealer specializing in fixed income portfolio management, trading, and municipal finance. He has held this position since 1999. Mr. Bederman has over 20 years of experience supervising broker dealer compliance and operations.

Prior to his role at Bernardi Securities, he served as National Operations Officer for Ernst & Young Investment Advisors, as an Operations Manager at SF Investments, Inc., and he began his career with Mesirow Financial.

Mr. Bederman has recently finished a three-year term on the FINRA Small Firm Advisory Board (SFAB), representing small broker dealers from the Midwest region. He has also served on the Series 7 Item Development and Content Review Committee, and is currently a member of the FINRA Continuing Education Content Committee. Additionally, he has served as a panelist and speaker for a variety of FINRA Small Firm meetings and seminars.

Mr. Bederman has a BS from the University of Wisconsin-Madison, an MBA from the Lake Forest Graduate School of Management-Chicago, and holds a variety of securities principal licenses. Mr. Bederman resides in Wilmette, IL with his wife and children.

Personal Statement

As a fellow officer of a small broker dealer, I know how hard your job is. I understand the challenges you face on a day-to-day basis as you balance the responsibilities of serving your clients, supporting your staff, and remaining profitable all while remaining compliant in an ever-changing regulatory landscape. I also understand the unique challenges small broker dealers face seeking creative and compliant solutions using a finite amount of resources.

Over the past three years I have served on the FINRA Small Firm Advisory Board (SFAB) with the objective of representing small firms such as ours. On many occasions I served as liaison between a member firm with a particular problem or question and FINRA. It is important that FINRA understands the impact issues such as fiduciary standard, costs of compliance, and an expanding rulebook (just to name a few) have on us. One size fits all regulation doesn't always fit us.

This is a pivotal time for our industry. With the current state of global financial markets, consolidation of many large firms, and the introduction of automated (robo) portfolio management, more and more investors will be seeking guidance and service from small broker dealers. We are the local names they know and trust. We are the firms that really provide the personal touch. And our success hinges on our client's success.

If I am elected to the District Committee, I will work to ensure that FINRA understands our unique service to the investing public. In an environment of change, we are here for the long run. I will be a voice to FINRA representing the strengths of our class of firms. I will work to ensure we have the representation we deserve.

Optional Links:

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

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Andrew J. Wykretowicz

Title: EVP, COO, CCO

Firm: Monere Investments, Inc.

Candidate Biography and Personal Statement

Andrew J. Wykretowicz graduated from University of Toronto with a BA degree. He also received a Teaching Certificate from Old Dominion University.

He started his career in the financial industry working as a financial advisors for IDS and American Express Financial Advisors. He worked for Morgan Stanley Dean Witter before moving to Aetna Investment Services. In 2002 he moved to Chicago and worked for Northern Trust Securities, Inc. In 2007 he joined David A. Noyes & Company as their Chief Compliance Officer. He also served on the firm's Board of Directors and Management Committee. In 2015 he moved to Monere Investments, Inc. where he serves as the Executive Vice President, Chief Operating and Compliance Officer. He is also a member of the firm's Board of Directors.

Mr. Wykretowicz has been an active member of SIFMA and NSCP. For the past five years he has been a member of the FINRA CE Committee.

I am running for the small firm seat on District 8 Committee. I think that my 20 years of experience in the financial industry give me a unique prospective to shape the future through the eyes of history and experience. I have an exemplary regulatory track record and know what it takes to be successful and compliant. Working for big and small firms I know what needs to be done and what resources are essential for your success. I can be an expert help you need and your voice to make a better environment for you to work in.

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