

Candidate Profile — District Committee Election

Candidate Name: Gary W. Chambers

Title: Senior Vice President - Compliance

Firm: Crews & Associates, Inc.

Candidate Biography and Personal Statement

I am a Senior Vice President of Compliance for Crews & Associates. My responsibilities, among many, include monitoring the firm's sales and trading activities for compliance with policies and procedures and supervising the firm's accounts section. I have been affiliated with various broker dealers as Compliance Officer and Financial and Operations Officer for over 45 years, including being associated with FINRA as an Assistant Director in FINRA's District No. 5 office in New Orleans, LA.

General areas of expertise include Compliance/Legal, Financial and Operations, Retail Sales and Trading/Market Making. Product expertise includes equities, options, and fixed income securities.

Professional Licensing includes FINRA Series 7, 24, 52, 53, 62, 63 and 79.

I served in the U.S. Navy for 6 years and was honorably discharged. I completed my schooling at Spencer's Business College in New Orleans, La.

As a result of my tenure with FINRA in District No.5 and the various District No. 5 member firms I have been associated with over the years, I have established a well known reputation in compliance and regulation. There are many new rules in the pipeline, more responsibility placed on Compliance Departments, and seemingly very little voice to take up for the industry. By being a member on the District No. 5 committee, I would have the opportunity to bring forth an actively engaged perspective of the issues affecting our marketplace. We continue to need a strong committed voice that understands the issues facing the securities industry when making these new rules. I will bring to the table exceptional knowledge, experience, and skill in the field of both equity and fixed income securities compliance and with these key factors develop solutions to the issues.

I believe my perspective and understanding of the many securities products, areas of the business, compliance and regulation, support the fact that I can and will represent District No. 5 membership in order to make a difference.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Nancy Johnson Jones, CFP®, CSCP™

Title: Chief Compliance Officer, Vice President

Firm: BOSC, Inc.

Candidate Biography and Personal Statement

I currently serve as Chief Compliance Officer for a broker/dealer, BOSC, Inc., that is dually registered as an investment adviser. I am also the CCO for their affiliated bank dealer, Institutional Investments, Bank of Oklahoma. With over 20 years of senior-level compliance experience in the independent broker/dealer and investment adviser profession, joining a bank-affiliated firm added another level of regulatory complexity to my world. Serving as a CCO allows me to put together pieces of the puzzle - coming up with possible solutions that may not be obvious at first glance.

It is important to me as a CCO to stay active in other areas of our profession so I avoid making compliance decisions in a vacuum. To that end, I have served on the National Board of Directors for three of our professions' largest organizations: Financial Planning Association (FPA), the CFP Board of Directors and the Foundation for Financial Planning. Each group has their own focus and identity but must in the end arrive at conclusions that rarely have the buy-in of all stakeholders in their organization. Over the years, our discussions revolved around some very "hot" topics: brokerage versus advisory; the fiduciary standard of care versus suitability; and pro bono financial planning for those in need - to name just a few. These are topics that remain current today because the answers are not black and white - and they are topics that still have a huge impact on our profession. Other relevant duties include serving as a previous Chair of the Disciplinary and Ethics Committee for the FPA and serving on the Appeals Committee for the CFP Board during my tenure.

If elected, I feel confident that I have an understanding of many of the issues facing the securities industry and the ability to apply my experience and expertise to help develop meaningful, reasonable solutions. I understand that not every decision will be popular or simple, but believe that ultimately a healthy debate and the perspective of different individuals will create a better end result.

I will remain sensitive to conflicts that may arise from firm-related work and service on the District Committee and refrain from participating in a matter if a conflict exists. If elected, I will refrain from using membership on the District Committee for commercial purposes or personal gain and will keep sensitive, non-public or proprietary information confidential.

I understand the importance of such a position and did not take my decision to seek election lightly. If elected, I will humbly serve to the best of my ability.

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