

## Candidate Profile — District Committee Election

Candidate Name: Beth E. Burns

Title: Director of Compliance

Firm: Synovus Securities, Inc.

### Candidate Biography and Personal Statement

#### Biography

Beth E. Burns is Senior Vice President and Director of Compliance for Synovus Securities, Inc., Synovus Trust Company, N.A. and GLOBALT Investments (collectively, Financial Management Services, FMS). As Director of Compliance she is responsible for monitoring the overall compliance and risk programs for brokerage, investment advisory, trust, and insurance functions. Her responsibilities include understanding and addressing all applicable laws and regulations, as well as acting as liaison with regulatory agencies and other internal control groups on compliance-related issues. In addition, she works closely with the President of FMS and Executive Management to assist with strategic business decisions for the various FMS companies. Burns oversees a professional staff of nine team members.

Burns joined Synovus in 1983 and has more than 30 years of experience in the brokerage and investment advisory industry. Prior to her current role, Burns served as Synovus Securities' Chief Compliance Officer. SSI's lines of business include full-service brokerage, investment advisory, and Capital Markets, which is comprised of Institutional Sales, Trading, and Investment Banking. In 2000, she was given the additional responsibility of coordinating and overseeing all compliance functions for the non-bank subsidiaries of Synovus listed above. Other positions held during her tenure at Synovus Securities include Controller and Operations Manager. Burns is a Director of Synovus Securities, Inc. and is also a member of the National Society of Compliance Professionals. Registrations include: Series 4, 7, 24, 27, 63, and 65. She holds a Bachelor of Business Administration from Columbus State University.

#### Personal Statement

Ever-changing regulatory environments dictate the importance of open dialogue between FINRA membership and regulators. As your representative on the District Committee, I would ensure that your thoughts and concerns are communicated. With over 30 years' experience, I have extensive knowledge of primary broker-dealer functions including compliance, finance, and operations as well as investment advisory and trust compliance. This breadth of industry knowledge will enable me to bring a unique perspective to the committee at a time when the financial services industry continues its dynamic pace of change. I embrace the need to adapt and work proactively and am not afraid to tackle tough or sensitive issues.

My best attributes include my leadership skills, analytical skills, work ethic, and the ability to deliver on commitments. My varied responsibilities within Synovus demonstrate my ability to work with a diverse group of individuals including executive management, registered representatives, and numerous regulatory agencies. In recent years, I have been invited to serve as a panelist at various SEC, FINRA, and other industry-related conferences. Participating in these conferences highlights my desire to represent the industry and engage regulators in candid and productive dialogue.

I look forward to sharing best practices and industry developments and representing you as we continue to discuss important initiatives. I appreciate your consideration and support of my candidacy.

#### Optional Links:

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

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

## Candidate Profile — District Committee Election

Candidate Name: Steven M. Greenbaum

Title: Vice President/General Counsel

Firm: TradeStation Securities, Inc.

### Candidate Biography and Personal Statement

#### Biography

I am Vice President and General Counsel of TradeStation Securities, Inc. ("TradeStation"), a South Florida-based self-clearing online broker-dealer and futures commission merchant registered with the SEC and the CFTC respectively. TradeStation's ultimate parent company is Monex, Inc., a publicly-traded Japanese financial institution. As lead counsel for TradeStation, I advise the firm on general legal matters, human resources and contractual issues. I also represent the firm in arbitrations and regulatory inquiries, oversee the anti-money laundering function and serve as legal advisor to senior management, the risk committees and the chief compliance officer. I spent the majority of my thirty-plus year career (1988-2005) as in-house counsel with PaineWebber, Inc. and UBS, Inc., first representing the firm in court and arbitration proceedings, and thereafter, as a senior vice president, supervising twelve attorneys who helped manage risk throughout the U.S. retail branch system. During my tenure at UBS, I also ran the firm's retail disciplinary committee and was a member of its policy review committee.

I currently serve as President of the Florida Securities Dealers Association, Inc. ("FSDA") a non-profit organization that both represents the securities industry's interests in Tallahassee and considers investor protection as one of its important missions. Under my leadership, the FSDA has embarked on a campaign to educate Florida residents, especially the elderly and students, about prudent investing and fraud prevention. In 2012, I was appointed to the Florida Office of Financial Regulation's ("OFR") Advisory Council which was established to enhance the OFR's ability to discover fraud early and to take action.

I am rated AV® Preeminent™ by Martindale-Hubbell and am a Florida Supreme Court certified mediator for civil and county court matters. I also serve as a FINRA arbitrator for industry and customer cases. In addition to holding law licenses in Florida and Georgia (inactive), I hold the following industry licenses: Series 3, 7, 24, 30, 34 and 63. I received a Bachelor of Arts in 1980 and a Juris Doctor in 1983 from Tulane University in New Orleans. I also serve on the board of my homeowner's association.

#### Personal Statement

With over thirty years of experience in the securities industry working at both large and mid-sized firms, I have become very familiar with FINRA rules and regulations, so I believe that I am uniquely qualified to serve on FINRA's District 7 Committee in order to assist FINRA with respect to industry trends, rule changes and related matters.

#### Optional Links:

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

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