

## Candidate Profile — District Committee Election

Candidate Name: Catherine A. Cucharale

Title: Chief Operating Officer/ Chief Compliance Officer

Firm: M. Griffith Investment Services, Inc.

### Candidate Biography and Personal Statement

As the Chief Operating Officer and Chief Compliance Officer of M. Griffith Investment Services, Inc., I am responsible for the day-to-day operations of the dually registered firm. Since joining the firm in 1998, I am Series 7, 24, and 99 registered. I have dedicated my strong work ethic to advancing the firm's overall productivity, work quality, and work place environment. I have been able to enhance the company overall through employee empowerment and proper training, but most importantly by adopting a hands on approach. Thus, throughout my 16 years of experience with M. Griffith, I have utilized my leadership skills to strengthen several key areas of the firm, including the firm's human resource department, company-wide training, accounting, marketing, and IT. I believe that dedicating my time to each of these key areas ensures the effectiveness of each department, and the company as a whole. Most notably, I understand the importance of playing an active role and leading by example.

As Chief Operating Officer, I am directly responsible for developing and implementing both policies and procedures for the entire firm to include both the Operations and Portfolio Departments. Every policy and procedure is thoroughly reviewed from all perspectives to streamline processes and maintain accuracy. My goal is to ensure that each and every client receives outstanding customer service; by maintaining both excellent and efficient company performance.

In addition, as the Chief Compliance Officer at M. Griffith, I am accountable for ensuring that the firm adheres to all regulatory and compliance requirements in the financial investment industry. To meet both regulatory and other compliance demands, I have overseen the creation, development, and implementation of many proprietary data programs. I strive to create processes that provide not only accurate client and transactional review, but precise audits as well. As the CCO of a dually registered firm, I also carry the additional responsibility of ensuring that our firm adheres to regulations as both a Broker/Dealer and a Registered Investment Advisor Firm.

In addition to my leadership roles at M. Griffith, I am also very involved in the community. I am currently the Treasurer of the Greater Utica Chamber of Commerce, a Board Member of the Utica Salvation Army and a past Board Member for the Mohawk Valley Society for Human Resource Management (MVSHRM). I also enjoy working with local high schools and colleges to provide on campus lecture and in-class assistance for business-oriented events.

As a member of the District 9 Committee, my goal will be to provide my personal and unique insight of a small operating firm. Although a small firm may include up to 150 registered representatives, a firm operating with 50 employees overall like our firm, experiences a completely different approach for daily operations and compliance. I believe my insight and experience will be beneficial for the committee and I welcome the opportunity to provide leadership and assistance as the voice of the 'smaller' firm.

### Optional Links:

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

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

## Candidate Profile — District Committee Election

Candidate Name: Steven D. Trigili

Title: Chief Compliance Officer

Firm: Garden State Securities, Inc.

### Candidate Biography and Personal Statement

My name is Steven Trigili, and I am seeking your vote to serve on the District Committee.

Since 2009, I have served as the Chief Compliance Officer for Garden State Securities, Inc., of Red Bank, NJ. Prior to coming to Garden State, I served as the Chief Compliance Officer for Perrin, Holden & Davenport Co. of New York, NY, from 2003 to 2009. From 1995 through 2003, I was Vice President of Compliance for International Planning Alliance of Fairfield, NJ. I have been CAMS-certified since 2010, and am currently enrolled in an MBA program with an anticipated graduation in Summer 2015.

I would like to serve on this Committee because I feel I will serve as objective and outspoken representation for small firms throughout our District. For the past eight years, I have been a recurring speaker at industry conferences and webinars on topics ranging from managing a robust small firm compliance program, to staying ahead of the curve on regulatory trends. I meet with hundreds of compliance officers and firm owners each year, and I know first-hand, both as a practitioner and as an educator, the regulatory challenges and risks we are faced with each and every day. I am now ready to be an advocate for the small firms that comprise our District, and I will work tirelessly to ensure that our voice is heard.

Working for small firms my entire 23-year career, I have seen the regulatory climate change dramatically. On a daily basis, I am involved with all aspects of managing the compliance program for my firm, and I'm continually striving to ensure a strong culture of compliance across the entire organization. I am intimately involved with all regulatory inquiries and legal matters, and I continually revise and improve our written supervisory procedures to keep them current with the relevant industry regulations.

I also provide compliance consulting services to small firms and securities attorneys, and have been certified as an expert witness for securities arbitrations. My FINRA licenses are the Series 7, 24, 55, 63, 65, and 79, I was born and raised along the Jersey shore and now reside in New York City. By volunteering my time in the District Committee, I feel that I will be able to provide a fresh perspective on the challenging regulatory environment in which we all work and support our families on a daily basis.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/pub/steven-trigili-cams/6/85/8bb>

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

## Candidate Profile — District Committee Election

Candidate Name: Rose L. Wilson

Title: VP/Chief Compliance Officer

Firm: United Brokerage Svcs Inc

### Candidate Biography and Personal Statement

#### Biography -

My name is Rose Wilson and I would appreciate your vote to serve on the District Committee. I began my career in the financial sector in 1990 and have continued growing my knowledge in numerous areas of financial services and investments. I have worn many hats, including a financial advisor, which provides a great benefit for me working in compliance. This gives me the ability to fully understand the challenges the advisors face each day to stay compliant and allows me to stay a step ahead of them to circumvent possible issues. I hold my Series 7, 66, 24 and 53, as well as, a life and health insurance license. I oversee my broker dealer's compliance program, develop and maintain policies and procedures and I am the liaison for regulatory examinations. I serve on numerous committees with our parent company including the Risk Management Committee, OFAC, BSA and Gramm-Leach Bliley Committees. I am also the Privacy Manager and AML Compliance Officer for my firm. I work closely with the Sales Managers and FINOP to ensure a smooth running firm.

A vote for me will provide an honest, hard working professional that will remain unbiased and candid throughout my term.

#### Personal Statement-

I work for a small firm by choice. The ability to know the people you work with, both personally and professionally, enables me to have a strong compliance program and an open door policy. I am able to receive input from colleagues regarding what they are passionate about, their challenges and what areas we should focus on. Success comes in many different forms, it is my belief that working together only improves your chances of success and provides a better chance that issues are addressed and resolved quickly and efficiently. I am committed to investor protection and would work hard as a District Committee member to assist with issues and reviewing rules and regulations. I am committed to accomplish my goals both personally and professionally. I will serve objectively and respectfully. At the end of the day, I consider what I have learned that day, what I could have done differently and whether I made the day better or worse. In other words, can I celebrate any personal successes or improve upon myself? I will serve with the same passion if elected.

Thank you in advance for your vote.

### Optional Links:

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

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