Candidate Profile —District Committee Election

Candidate Name: Douglas A. Wright

Title: Chief Compliance Officer Firm: The Investment Center, Inc.

Candidate Biography and Personal Statement

Biography

Douglas A. Wright, Chief Compliance Officer
Recent Business Background:
The Investment Center, Inc., CCO: 04/01 – Present
InterFirst Capital Corporation, CCO, COO: 06/96 – 04/01
Post-Secondary Educational Background:
University of Arizona – 1982, B.S. Finance & Economics
Licenses:
Series 7, 63, 24, 4, 27, 65
Industry Designations:
FINRA Certified Regulatory and Compliance Professional (CRCP)

Licensed since 1987, I have over twenty-seven (27) years of combined experience in compliance, supervision of staff, retail securities sales, and management. I joined The Investment Center, Inc. in 2001 as its Chief Compliance Officer. The Investment Center, Inc. has been an independent broker-dealer since 1986 (also a Registered Investment Advisor through an affiliated company) serving retail clients and has the distinction of being voted "Broker-Dealer of the Year" five (5) times by Investment Advisor Magazine. The firm currently has over 280 registered representatives and 187 branch offices located throughout the country.

In 2011, I attended and completed the FINRA Institute at Wharton's CRCP program. As noted on FINRA's website, "the FINRA Institute at Wharton program delivers a comprehensive and rigorous course of instruction on the foundation, theory and practical application of securities laws and regulation."

I received a Bachelor of Science degree in Finance and Economics from the University of Arizona in 1982 and hold numerous securities related licenses. I am currently an active member in the National Society of Compliance Professionals. In addition, I am also active in the community as President and volunteer firefighter in New Jersey and have served in the past as a FINRA arbitrator.

Personal Statement

I believe my experience will serve all District 9 broker-dealers well and look forward, if elected, to helping provide solutions for the securities industry within the current regulatory framework (without unnecessarily increasing the regulatory burden placed on firms). My experience incorporates almost every facet of the securities industry. I have served as a registered representative, in senior management, and operations, as a financial operations principal, and have worked in the areas of large bank broker/dealer compliance and independent broker/dealer compliance (as well as Registered Investment Advisor compliance). I understand today's regulatory issues from the perspectives of both broker-dealers and dually registered firms.

Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____