

Candidate Profile — District Committee Election

Candidate Name: Erin Baskett

Title: Managing Partner - CFO/CCO

Firm: Autonomous Research US LP

Candidate Biography and Personal Statement

My name is Erin Baskett and I am seeking your support for the Small Firm seat on the FINRA District 10 Committee.

I earned my Masters in Accounting from Lindenwood University and my B.S. in Business with a minor in International Finance from the University of Missouri. I began my professional career in the back office of A.G. Edwards where I assisted in the broker dealer operations. For 6 years after that I worked in a full service certified public accounting, audit and business consulting firm, during which time I obtained my certification as a CPA, and managed numerous client engagements. In 2010, I joined a self clearing and dually registered retail BD and RIA firm with approx 100 employees across 12 offices and 10,000 client accounts in nearly all 50 states where I held the titles of CFO, Director of H.R. and Internal Audit congruently.

In 2012 I helped launch Autonomous Research US LP, a firm which provides research coverage of banks, asset managers, mortgage and consumer finance, payment processors as well as offering an execution service to our clients. In my role of Managing Partner and CFO/CCO, I oversee the daily operations of the business and am responsible for all accounting & finance, compliance, FINOP, trading operations, regulatory reporting, client management and business development. In total, I bring over 6 years of public accounting, audit, and consulting experience as well as 6 years of financial industry experience. I hold a CPA, CGMA (Chartered Global Management Accountant), Certified Human Resource Specialist (CHRS), Series 4, Series 7, Series 24, Series 27, Series 65, and Series 99.

I am entering this race because I enjoy being involved in the regulations under which we all have to operate. We are all under pressure to satisfy our clients, to grow our business, and remain in compliance with our regulators. With my knowledge and experience of both working on the audit side of the regulations to running small firms which must constantly adapt and adhere to the regulations, I feel I am equipped at finding the middle ground in policies which won't cripple the small firms. Your time needs to be spent ensuring the absolute best service for your clients – let me work to ensure you can do that by signing my petition.

I thank you for your time and consideration.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: BARRY CHAMPNEY

Title: CCO

Firm: VANDERBILT SECURITIES, LLC

Candidate Biography and Personal Statement

I am a graduate of Champlain High School in Mineola, NY. While there, I served as Class President; Captain of Football Team and Vice-President of the Student Council. As an alumnus, I served as Vice-President of the Alumni Association and also as President. I currently serve as a Permanent Board Member.

I graduated from the University of Pennsylvania with a BA in Biology. I co-founded an organization, Pcepte Against Chlordane, to have the pesticides Chlordane, Aldrin, & Dieldrin banned in NYS. We were successful. The ban spread across the United States through the EPA. I served on a Special Committee to Gov. Mario Cuomo regarding pesticide use in NY. The committee was established through the NYS Dept of Environmental Conservation & commissioned by Henry Williams.

I am a lector & Eucharistic Minister in my parish and serve as the leader of our men's prayer group. I also serve as the Chairman of the Long Island Catholic Men's Ministry which host an annual conference for approximately 1200 men of our diocese. Mar. 2015 will be our 7th event.

I have been a broker, asst mgr, BOM, & CCO during my 33 years in the industry. I serve as the initiator of the Long Island Compliance Professionals Organization. I also taught Science & Math in both public & private schools.

Optional Links:

Link to personal website, resume or CV: NONE

Link to YouTube video: NONE -

Candidate Profile — District Committee Election

Candidate Name: Stephen Hart

Title: Chief Compliance Officer

Firm: Robotti & Company, LLC

Candidate Biography and Personal Statement

I hope to connect better with the small member firm constituents of New York City and Long Island. District 10 has the largest proportion of Broker-Dealers in the country. As the District 10 representative for the Small Firm Advisory Board, I am hoping to better align this large Broker-Dealer population and our District's interests with those issues that the FINRA Board of Governors vet at each meeting. By bringing those issues concerning District 10 to the Small Firm Advisory Board's Issues Log, which in turn is shared and vetted by the FINRA Board of Governors, I hope to create real-time efficiencies. It is always an honor to serve District 10 in any capacity and is a responsibility I would take with humility and pride if elected.

Currently, I am the Chief Compliance Officer for Robotti & Company Advisors, LLC ("Robotti IA"), an SEC Registered Investment Adviser, and Robotti & Company, LLC ("Robotti BD"), a FINRA Registered Broker-Dealer. Robotti & Company specializes in small and mid-cap equity investment management. Robotti BD publishes research, maintains discretionary accounts, and provides execution capabilities for its clients. Robotti IA provides investment advisory services consisting of Separately Managed Accounts and Alternative Investment Vehicles in the '40 Act space.

Prior to joining Robotti, I worked at BlackRock as a Chief Administrative Officer and Vice President in Legal & Compliance, supporting both global Compliance and Operations. Before joining BlackRock, I worked in the Corporate and Finance departments of Waldron & Goldstein, P.C., focusing primarily on Compliance consulting. I earned a BA degree in Political Science from the University of Pennsylvania and an MS degree in Banking and Financial Services Management from Boston University. I hold an Investment Adviser Core Compliance Certification as well as my FINRA Series 7, 24, 66 and 99 licenses.

In December 2013, I was elected for a three year term to the FINRA Small Firm Advisory Board (SFAB) for New York City / Long Island. The SFAB reviews all FINRA rule proposals to provide guidance to the FINRA Board of Governors. I also serve as a Dispute Resolution Arbitrator for District 10.

Optional Links:

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Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: John Parmigiani

Title: Managing Director / Business Development

Firm: EJ Sterling, LLC

Candidate Biography and Personal Statement

I have been in the securities business for the past 18 years and have been actively engaged in virtually every aspect of day-to-day operations of running a small firm as well as managing customer accounts. In 2011 I purchased EJ Sterling LLC. EJ Sterling LLC is licensed in all 50 States and engages in a general securities business.

As the owner of a small broker dealer, I have had to contend with the various issues that face the industry on a daily basis. Increased regulation and the increased costs that are associated with running a business are just some of the items that I deal with everyday.

I'm running because Small firms need a strong voice to ensure our survival and I'm running to ensure that together we can bridge the gap between regulators, small firms and the investing public. I'm not just speaking as an owner, I'm an active producer with a book of business and contend with the same issues that the committee will deal with on a regular basis.

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Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Caitlin M. Smith

Title: Chief Compliance Officer

Firm: Norfolk Markets, LLC

Candidate Biography and Personal Statement

Biography:

Caitlin M. Smith serves as the Chief Compliance Officer of Norfolk Markets, LLC ("Norfolk"), a boutique broker-dealer and a member of FINRA.

Prior to joining Norfolk, Caitlin worked in the legal and compliance departments at Strategic Value Partners, LLC, an SEC-registered investment adviser located in Greenwich, Connecticut, and BNP Paribas Investment Partners.

Before transitioning to compliance, she practiced securities litigation at plaintiff law firm Entwistle & Cappucci.

Caitlin obtained a B.A. cum laude in Political Science and Spanish from the University of Notre Dame and a J.D. from the University of San Diego School of Law. She is admitted to practice law in New York. She holds the FINRA series 3, 7, 24, and 63 registrations.

Statement:

I am running for a small firm representative seat in District 10. Through my role of Chief Compliance Officer for a boutique broker-dealer, I am cognizant of the issues and challenges small firms face in today's regulatory environment. I believe it is imperative for FINRA to respond to the changing needs of both investors and broker-dealers, and I would like to be a part of this important process. Collaboration between FINRA and compliance professionals is vital to ensure regulatory changes are practical and effective at carrying out their intended purpose. I would welcome the opportunity to represent small firms in District 10 and make sure our voices are heard.

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