

## Candidate Profile — District Committee Election

Candidate Name: Jay Lanstein

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Title: Chief Executive Officer

Firm: Cantella & Co., Inc.

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### Candidate Biography and Personal Statement

see attached.

### Optional Links:

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

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

## **Experience**

I started at Cantella & Co., Inc. in January 2002 as an intern while attending Boston College. Cantella is a dually registered broker/dealer and SEC RIA. We have multiple clearing relationships, and I have experience working with five clearing firms simultaneously. While we primarily serve independent advisors, we also offer custodial services to independent RIAs and clearing for broker-dealers through tri-party arrangements.

Despite my full class schedule, I soon found myself working full-time using my technology background to automate many back office processes. This required that I get a deep understanding of operations, commissions, trading and compliance, which would help me in my later roles. Industry examinations also helped me learn the rules that underpin our industry. Working with my commissions department, I programmed a completely new commissions system by the time I graduated from college.

After graduation, I stayed on with initial responsibility for all of the firm's technology. From 2004 to 2006, I was asked to take an additional role as the Operations Manager. This role allowed me to redesign our workflows, design and implement an imaging system to improve efficiency and reduce costs.

## **Current Responsibilities**

I joined the Board of Directors in 2008 and became the Chief Executive Officer in 2009. I continue to serve as the Chief Information Officer with additional responsibility for supervising Trading and our FINOPs. I actively participate in mediations and arbitrations, as well as regulatory examinations. Earlier this year, I acquired an equity stake in the firm, which is now controlled by our management team. I have a vested interest in working to protect our firms and to fight for fair regulation.

## **Advocacy Agenda**

In my 12 years in the business, I have witnessed firsthand how regulatory overload threatens to destroy our industry while bringing little positive impact to investor protection. I feel a responsibility to run for the District Committee to protect our firms against the unnecessary and unproductive bureaucracy that many recent regulatory changes have imposed. I had Series 4, 7, 9, 10, 24, 27, 53, 55, 63, 65 licenses by the time I was 21 years old. I am ambitious and will get things done that benefit member firms.

With your vote, I will be the advocate that is desperately needed for firms of our size. I know that we only have one seat, and it is important that we use our influence effectively -- our business model is at risk. I believe my breadth and depth of experience makes me uniquely qualified to represent firms in the district. Finally, while I will be an activist for your firm, I also understand that continuing my constructive relationship with FINRA is important to achieve the best results for all of us.

## Candidate Profile — District Committee Election

Candidate Name: Anthony Loureiro

Title: Chief Compliance Officer

Firm: NGAM Distribution, L.P.

### Candidate Biography and Personal Statement

I began my career in the financial services industry over 25 years ago. I have worked in a variety of firms including a retail broker dealer, a bank affiliated broker dealer, an insurance affiliated broker dealer and currently at a mutual fund distributor.

Since 1997 I have been employed by Natixis Global Asset Management, serving as the Chief Compliance Officer of NGAM Distribution, L.P. (the distributor of the Natixis Funds) since 2000. Immediately prior to joining Natixis I served as Chief Compliance Officer of FIS Securities, Inc. (a Fleet Bank entity). I hold Series 7 (1992) and Series 24 (1993) FINRA registrations and received a BA in Economics from the University of Massachusetts at Boston.

I would like the opportunity to serve on the FINRA District 11 Committee. I understand many of the challenges firms face in this environment of change and feel that my experience can help impact the committee in a positive way. My experience with regulators includes both retail and wholesale perspectives and I feel that I can leverage that to the benefit of the Committee. I appreciate the responsibility FINRA faces as an SRO and the challenges that it faces as it works to protect the interests of investors. I feel that by serving on the committee I can help further that mission.

If chosen to serve on the committee I would strive to be a strong advocate for all types of firms with regard to the impact of new and existing rules. I will also work toward increasing regulatory awareness of the struggles certain types of firms may have with satisfying the requirements of FINRA rules that may have limited applicability to their business (i.e. retail vs. wholesale activity).

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## Candidate Profile — District Committee Election

Candidate Name: Michael J. Mahoney

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Title: Chief Compliance Officer

Firm: John Hancock Funds, LLC

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### Candidate Biography and Personal Statement

#### Experience:

John Hancock Funds, LLC, Chief Compliance Officer - 2006 to present:

Responsible for all aspects of the compliance, registration and oversight programs related to the activities of the wholesale distribution broker dealer, its network of wholesale representatives and principals, internal business units and management of Compliance Team.

John Hancock Distributors LLC, Chief Compliance Officer - 2013 to present:

Responsible for all aspects of the compliance, registration and oversight programs related to the activities of the wholesale distribution broker dealer, its network of wholesale representatives and principals, internal business units and management of Compliance Team.

Commonwealth Financial Network, Asst. Director of Compliance - 2000 to 2006; Senior Compliance Advisor/Manager - 1997 to 2000

Oversight of: advertising review process and staff; surveillance program process and staff; manage and execute the annual branch office inspection cycle process; Firm Element CE program; Anti-Money Laundering Compliance Officer.

Linsco/Private Ledger, Compliance Analyst - 1995 to 1997

John Hancock Fund Services/John Hancock Distributors, Inc., Compliance Specialist - 1992 to 1995

Keystones Distributors, Inc., Wire Order Desk - 1987 to 1991

#### Associations/Memberships

FINRA District 11 District Committee 2009 to 2012

NEBDIAA 2006 to present

Financial Services Institute Compliance Council 2002 to 2006

#### Personal Statement:

I have been in the financial services/securities industry for over 20 years with experience covering retail, service, manufacturing and distribution. After having previously served on the District Committee, I am running again to represent District 11. In addition to participating in industry networks and associations, service on the District Committee is a valuable opportunity to represent our industry and to engage in meaningful, positive discussion with FINRA on matters pertinent to the Membership. I welcome the opportunity to serve as your District's representative on the Committee and I appreciate your consideration and vote.

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