

## Candidate Profile — District Committee Election

Candidate Name: David P. Swartz

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Title: Complex Manager, Executive Director

Firm: Morgan Stanley

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### Candidate Biography and Personal Statement

#### Candidate Biography:

David Swartz is the Metrowest - Rhode Island Complex Manager, and currently manages eight offices representing approximately 190 Financial Advisors with 23 Billion in Assets Under Management. Prior to coming to Wellesley as the Complex Manager in 2006, David was the Assistant Branch Manager at Morgan Stanley in the Boston office. David graduated from Syracuse University with a BS in Political Science and from Suffolk Law School cum laude with a JD in Law.

After practicing law for a couple of years, David joined Morgan Stanley as a Financial Advisor in Boston. He then assumed a leadership role in Boston from 2002-2006 before getting promoted to manage the Wellesley Complex in 2006. Since 2006, David's complex has grown considerably both organically and through an integration of Legacy Smith Barney offices.

David currently resides in Westwood, MA with his wife, Jennifer, and their two boys, Gavin age 9 and Jared age 8. In his free time, David enjoys spending time with his family, coaching youth sports, as well as playing basketball and golf.

#### Personal Statement:

Given my background in financial services as a Financial Advisor and Branch and Complex Manager, together with my legal background I believe I am qualified to serve as a FINRA District Committee member. I welcome the opportunity to partner with our regulators to provide objective feedback and education regarding current and proposed rules and policies governing our industry. Thank you for your consideration.

### Optional Links:

Link to personal website, resume or CV: n/a

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Link to YouTube video: n/a

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