

Candidate Profile Form—Regional Committee Election

Candidate Name: **Alyson Mencio Stevens**

Title: **Chief Compliance Officer**

Firm: **Wiley Bros.-Aintree C**

Candidate Biography and Personal Statement

I currently serve on this Committee; however, my current term will be complete following the upcoming Fall 2023 meeting. I have so enjoyed being a member of this committee. The discussions that occur between members and between members and FINRA staff are always relevant and extremely helpful for our small firm. These committee meetings allow me to provide meaningful feedback to my network of small firms with whom we share ideas on creating, implementing, modifying, and monitoring processes and procedures to conduct our business in a manner that best serves our clients in a compliant manner.

I have been in this industry for 16 years and have been with the same member firm for the duration of my career. We are a small firm but have an extremely diverse business mix ranging from traditional retail, institutional fixed income and equity trading, municipal underwriting, investment banking and municipal advisory. I have had the unique opportunity of being involved in all of these business lines, to some degree, over the years which has given me a great foundation to participate in FINRA committee settings. We are constantly looking for ways to improve our processes and procedures to comply with existing and new regulation and to stay abreast of all changes in our industry.

I am a graduate of Vanderbilt University Engineering School. I hold FINRA Series 7, 4, 24, 53, 55, 66 and 79. Additionally, I am a CERTIFIED FINANCIAL PLANNERTM certificant. I have been involved in Compliance since joining the Firm, but have officially been a Compliance Officer of the Firm since 2017.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video: