

Candidate Profile Form—Regional Committee Election

Candidate Name: **Travis L. Bator**

Title: **Chief Compliance Officer**

Firm: **Independent Financial**

Candidate Biography and Personal Statement

Having previously on the Midwest Committee while working as Chief Compliance Officer for Harbour Investments, I am seeking election to the West Regional Committee. In addition to serving as CCO for Independent Financial Group, I am an active attorney. I also have a Bachelor of Science in Accounting from the Minnesota School of Business, and hold FINRA Series 4, 7, 24, 53, 63, and 66 registrations, as well as CFE and CRCP designations.

My path in this industry began when I joined the U.S. Marine Reserves and was hired to work at Ameriprise Financial. I first started in their trading queue's focusing on mutual funds. While working at Ameriprise I was able to expand my understanding of the industry and transitioned from trading queues into Field Office Inspections. While working in Field Office Inspections I saw first-hand how policy changes, no matter how small, can have large impacts on firms and practices. From Field Office Inspections I transitioned into the Centralized Supervision Unit for complex products at Ameriprise to facilitate attending law school while also working full-time. My experience in compliance, seeing both the oversight and the supervision aspects, combined with working on various committees focused on product development and on-boarding experienced advisor recruits, has given me a unique perspective. With my perspective I have tirelessly sought ways to build policies that protect investors while balancing the needs of our regulators with the practicality of the Reps and Firms who must comply with them.

After Ameriprise I moved to Harbour Investments which allowed me to apply my experiences in more effective and precise ways than I could not have done within the hierarchy of a larger organization. Experiencing both a large firm and a small firm has helped me anticipate needs faster and has also helped me build out the skill-set necessary for driving meaningful change where needed.

It is my hope that in joining FINRA's West Regional Committee representing District 2, that I can be a voice of all FINRA members in my district, focusing on challenges facing not only big firms but small ones as well, encouraging collaboration where parties are willing to participate.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/travis-bator-j-d-cfe™-crp@a5923032

Link to YouTube video:

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Candidate Name: **John Calicchio**

Title: **President/CEO**

Firm: **ICON Capital Group**

Candidate Biography and Personal Statement

- **Current President/CEO – ICON Capital Group – Newport Beach, CA**
- **Former COO Euro Pacific Capital/Alliance Global Partners- 2009-2022**
- **Former President - Securities Traders of Los Angeles (STALA)**
- **Member and representative - Securities Traders Association**
- **Thirty-five years as a Securities Industry Professional**
 - o **Series 3/6/7/24/30/55(57)/63/72**
 - o **Spotless registration record**
- **University of Miami, FL – BBA – Political Science**
- **Pepperdine University – MBA**
- **Southern California based for the last 20 years.**

I have spent the last 30 years at a variety of firms, including bulge bracket firms, boutique banking firms, retail firms with RIA components, and pure trading firms. I have extensive, hands-on experience in every facet of this industry from operations to compliance, as my record will attest. As a former C-level financial executive for the last 15 years, and the current principal and owner of a small firm, I understand better than most the impact that regulatory decisions can have, not only on the business side, but on the implementation side as well, including the effects on the client. Understanding how regulatory decisions effects all participants of an industry allows for the development of more effective solutions to any particular problem. As I have educated my own staff on FINRA matters in the past, I promise to help the firms in my district understand the issues facing the securities industry by educating them about FINRA's responsibilities, and how to apply relevant knowledge and expertise to these issues to develop solutions for all participants in the financial industry that live up to the spirit and intentions of the rules set by the regulatory bodies.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Michael Kane**

Title: **Managing Partner**

Firm: **Kane & Company**

Candidate Biography and Personal Statement

Relevant Biography

Michael Kane, Ph.D., J.D., has been in the securities industry for 36 years, working in investment banking and capital markets for three firms, including L.F. Rothschild, Oppenheimer & Co., and his own firm, Kane & Company (which is the dba for TransactionDrivers LLC). He has extensive experience in M&A and financing transactions for public and private companies.

Michael holds Series 7, 63, 24, 14, and 99 registrations. Before entering the securities industry, he was a Project Leader in the Systems Sciences Department of The Rand Corporation, the 6th employee of what became DirectTV, and a corporate, securities, and tax lawyer with the L.A. firm of Irell & Manella. He is a veteran of the U.S. Navy.

Personal Statement

I have been responsible (E.R. and CCO) for creating, monitoring, enforcing, and reporting my firm's regulatory regime across all areas of mandated compliance. I am the front-line contact and firm interface for FINRA examiners and coordinators for eight routine regulatory examinations. I have had many adventures figuring out how a small firm can comply with the abundant fountain of requirements arising over decades.

I am concluding my first term as one of the representatives for District 2 on the Western Region Committee. I am seeking reelection because the experience of the first term taught me how this committee function works and how best to communicate insight. (That's a nice way of saying I am less clueless now and have a better idea of what to say to whom and when than anyone [except the regulatorily-gifted] could have upon first walking through the door.)

Thank you. Michael Kane, Managing Partner, TransactionDrivers LLC dba Kane & Company

Optional Links:

Link to personal website, resume or CV: <https://vimeo.com/870801073/a31c6a7461?share=copy>

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Darius Lashkari**

Title: **CCO / AMLCO**

Firm: **Investment Placemen**

Candidate Biography and Personal Statement

To all who may be interested in my background:

I am a resident of San Diego, California who has been working in the financial services industry for over 20 years with my career focus in compliance supervision in Brokerage Firms, Clearing Firms, Investment Advisory Firms, Banking Firms, and Trust Departments. I am a New Yorker, from the New York City boroughs Queens and Brooklyn; I have worked in both the front and back offices of firms such as Prudential Securities, Morgan Stanley, Bear Stearns, TD Waterhouse Securities (at that time), and other firms of similar type. My passion has been to serve and help protect such firms from abusing their own authority with market regulations and industry practice along with helping ensure that all personnel of the firms are not only trained in best practices applicable to their role within the firms, but also to help protect the clients and the firm from either known or unknown violations and potential violations within industry rules. I am very hands on, I enjoy helping people and building teams and working in teams; I have a clean U4 and I appreciate the opportunity to serve you and the public's best interest in this role.

I have pasted some of the information from my current resume for your review.

Thank you, GOD BLESS you

SUMMARY OF QUALIFICATIONS FINRA INDIVIDUAL CRD 3061561

Experienced AML Compliance Officer; Chief Compliance Officer; Principal Operations Officer.

Prior employers include the following large size firms, medium size firms, and small size firms such as: Prudential Securities, Morgan Stanley, TD Waterhouse, Bear Stearns, SunTrust Investment Services, Raymond James, CGIS Securities, and Andbanc Wealth Management.

Clean U4

Current FINRA Registrations (CLEAN U4)

FINRA Arbitrator – Non-Public

California Notary

Current FINRA Registrations (CLEAN U4):

- o FINRA Series 4 – Registered Options Principal and Securities Futures Principal (CROP & SROP)
- o FINRA Series 6 - Investment Company and Variable Contracts Products Representative
- o FINRA Series 7 – General Securities Representative
- o FINRA Series 9 – General Securities Options Sales Supervisor
- o FINRA Series 10 – General Securities Branch Office Manager & Sales Supervisor
- o FINRA Series 14 – Compliance Officer
- o FINRA Series 24 – General Securities Principal
- o FINRA Series 24 – Investment Banking Principal
- o FINRA Series 26 - Investment Company Products/Variable Contracts Principal
- o FINRA Series 27 – Financial and Operations Principal and Principal Operations Officer
- o FINRA Series 28 – Introducing Broker-Dealer Financial and Operations Principal
- o FINRA Series 52 – Municipal Securities Representative
- o FINRA Series 53 – Municipal Securities Principal
- o FINRA Series 63 – Uniform Securities Agent State Law
- o FINRA Series 79 – Investment Banking Representative
- o FINRA Series 82 – Limited Rep Private Securities Offerings & Private Securities Offerings Principal
- o FINRA Series 99 – Brokerage Operations Professional

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—Regional Committee Election

Candidate Name: **Mark Quinn**

Title: **Director of Regulatory Affairs**

Firm: **Cetera Advisor Netwoc**

Candidate Biography and Personal Statement

I am currently the Director of Regulatory Affairs for Cetera Financial Group, Cetera Advisor Networks, and three other FINRA member firms. In that role, I am responsible for advocacy and outreach with regulatory agencies and elected officials. I also manage a team of professionals who handle examinations and other interactions with regulatory agencies including the SEC, FINRA, and the states.

I have been in the securities industry for more than 30 years, as both a legal adviser and senior executive for firms ranging from 500 to nearly 10,000 representatives. I have had management responsibility for Legal, Compliance, and Risk Departments comprising more than 100 professionals at a time, and I am familiar with virtually all areas of the securities and investment advisory businesses.

I have previously served on FINRA District and Regional Committees and as a panelist on multiple disciplinary hearings. The representatives of my firms are almost all independent contractors, but I believe it is necessary for all types of firms to be represented on FINRA committees in order to provide the diversity that exists within the FINRA membership. I can effectively convey the viewpoints of all types of firms and business models as a member of the District Committee, and will continue to do so if elected.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: **Ann Robinson**

Title: **Chief Compliance Officer**

Firm: **Farmers Financial Se**

Candidate Biography and Personal Statement

With over 20 years' experience as a senior compliance professional, Ann has deep expertise in financial services operations, compliance, and compliance technology. In 2018 Ann joined Farmers Financial Solutions, LLC as the Director of Operations and transitioned to Chief Compliance Officer in January 2020. In previous roles, Ann made significant contributions to the compliance tech industry during her employment with RegEd in roles including Business Development and Product Management. Prior to joining RegEd in 2012, Ann was a Senior Compliance Manager for Morgan Keegan & Company, Inc. where she was responsible for the implementation of firm element, continuing education, and associated learning programs and managed the Licensing and Registration department. Ann also had a key role in implementing technology to automate various compliance functions including the firm's conflicts of interest program. Ann holds a Bachelor of Science degree from Samford University in Birmingham, Alabama and Masters of Business Administration degree from the University of Alabama in Birmingham, AL. She also holds Series 7, 66, 24, 14 securities licenses and a California Insurance License. Ann holds the Securities & Insurance Licensing Association Fellow (SILA-F), American Bank Association (ABA) Certified Regulatory Compliance Manager (CRCM), National Society of Compliance Professionals (NSCP) Certified Securities Compliance Professional (CSCP), and FINRA Certified Regulatory and Compliance Professional (CRCP) designations.

Ann is also an active member in multiple industry associations including Financial Services Institute (FSI) and NSCP. She serves on the Securities & Insurance Licensing Association (SILA) Foundation board as the Public Works and Services Trustee. The Foundation provides access to educational opportunities and scholarships for current and aspiring insurance licensing and securities registration professionals.

I am running for a seat on the Regional Committee to maintain active engagement in the securities industry and provide insight to FINRA staff based on my current role as a Chief Compliance Officer and my prior roles in the industry related to compliance technology.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/ann-robinson-a0675222>

Link to YouTube video: