

Candidate Profile Form—SFAC Election

Candidate Name: **John (Jack) Bruno**

Title: **Chief Operating Officer**

Firm: **Global Financial Serv**

Candidate Biography and Personal Statement

Biography

Jack is a 39-year veteran in the financial services industry. He joined GLOBAL in January 2011 as the COO following the merger with The Edelman Financial Group (formerly Sanders Morris Harris Group) and is a current member of the GLOBAL Board of Directors. Prior to that Mr. Bruno was Senior Vice President of the Wealth Management division of Sanders Morris Harris Inc. Mr. Bruno began his career at Merrill Lynch in 1984 and over his 20 years with Merrill Lynch gained experience in operations, technology, finance and accounting, compliance, and sales management. Mr. Bruno has also held the position of Chief Compliance Officer, Director of Operations and Anti-Money Laundering Officer during his career. Mr. Bruno graduated Cum Laude with Bachelor of Science degrees in Finance and Marketing from LaSalle University in Philadelphia. He holds the Series 4, 7, 9, 10, 24, 31, 53, 63, 65 and 87 licenses.

Personal Statement

As a veteran of the financial services industry, I have experienced the challenges that small firms face when trying to meet all of the compliance obligations in an environment of ever increasing regulations, growing competition, and rising costs. I have been on both the business development and compliance sides of the industry and fully understand how to balance compliance and regulatory obligations allowing business leaders meet client expectations and grow their practice while doing so in a compliant manner.

It has become increasingly difficult for small firms to meet all of their regulatory obligations. Larger firms typically have the infrastructure and funding to develop or introduce technology solutions to meet new regulatory requirements. Small firms do not have that luxury and it is important that small firms have a voice to express the consequences that regulatory changes have on their businesses.

I have had many varying responsibilities in the financial services industry over my career and can speak first hand about the challenges of juggling multiple responsibilities that is usually necessary at small firms. Small firm employees carry a heavy workload and it has become more important that ever that small firms have SFAC members that can effectively communicate and amplify the challenges that small firms face.

As an SFAC member my sole focus will be to help FINRA understand the impact regulatory changes have had and may have in the future on small firms. My goal would be to provide FINRA with real-world examples that demonstrate the impact new regulations have on small firms. I will work together with FINRA and the other members of the SFAC to develop a regulatory schema that can help increase transparency and protect the best interests of clients while at the same time allowing small firms to thrive and compete.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—SFAC Election

Candidate Name: **Sergio Guerrero**

Title: **COO & FINOP**

Firm: **Amerant Investments**

Candidate Biography and Personal Statement

I have over 15 years of extensive experience in the financial services industry, specializing in both Broker Dealers and Registered Investment Advisors. Throughout my career, I have held various roles that have allowed me to gain a deep understanding of the industry's complexities and challenges. I currently serve as COO & FINOP at Amerant Investments, a bank owned, dually registered broker dealer and registered investment advisor. Founded over 20 years ago and headquartered in Coral Gables, Amerant Investments is focused on providing holistic wealth management services to both onshore and offshore clients.

In my current role as COO & FINOP at Amerant Investments, I am responsible for the firm's client service team, our fixed income trading desk, our sales supervisors, and back office teams.

While I have not been directly involved with FINRA committees previously, my experience and daily work have given me valuable insights into the regulatory landscape and unique challenges faced by small firms. I am motivated to join the FINRA Small Firm Advisory Committee to help address challenges faced by small firm in the financial industry, which include navigating a complex regulatory environment in a rapidly evolving market.

My primary goal as a committee member are to collaborate with member firms and FINRA to advocate for practical and effective regulatory policies that support the growth and success of small firms and to promote strategies for enhancing compliance while reducing the regulatory burdens.

I was raised in South Florida and obtained my MBA and bachelor's degree in finance from Florida International University and hold the Series 7, 24 and 27 registrations with FINRA.

Thank you in advance for your support.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/in/sguerrero1

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: **Gregg Guinta**

Title: **President**

Firm: **AAG Capital, Inc.**

Candidate Biography and Personal Statement

Extensive prior experience as a senior executive with major firms in brokerage and asset management. Senior roles as a Chief Financial Officer or the Head of Operations for groups at Fidelity Investments (brokerage, brokerage operations, institutional retirement and benefits outsourcing). Similar roles at State Street Corporation, BankBoston, and Pepsi Cola.

In addition, I have held senior roles at a \$6 billion investment and asset management platform as well as consulting for industry-leading money management firms such as Brinker Capital. Also did work for the State of Florida Securities Division.

Elected official in Massachusetts and was elected to the Board of Trustees of the Cincinnati Ballet and Covington Arts Center. Active today in a variety of community activities.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—SFAC Election

Candidate Name: **David Lee Hunt**

Title: **Chief Executive Officer/Chief Compliance Officer**

Firm: **Securitize Markets**

Candidate Biography and Personal Statement

In my 27-plus years in the financial services industry I have served in a leadership capacity for well over half of that time. I've enjoyed serving as CCO for some of the industry's largest, including Alliaz Global Investors, AIG, Wachovia and SunTrust/Trusco, as well as one of the first employees in several start-up broker-dealers. Two of the more obvious commonalities I've observed across all these different firms is i.) the need for knowledgeable compliance leadership no matter the size of the company, and ii.) the importance of an open and respectful relationship with regulators. My goal in every organization I serve is to establish/maintain that positive culture of open interaction between firm and regulator. I've seen first-hand the results of trying to "go it alone" and of having a two-way communication with our RMA, and can readily attest to the advantages of the latter.

In applying for a role on the SFAC, I feel I can better help a greater number of firms see the positive impact of a strong culture of compliance, and building an open relationship with regulators. I am more motivated than ever in seeking a way to providing those with less experience all that I can in the spirit of advancing all small-firm programs.

Thank you for considering me for this role.

David L. Hunt

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/david-l-hunt-589424139/>

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: **Alyson Mencio Stevens**

Title: **Chief Compliance Officer**

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

Candidate Biography and Personal Statement

I currently serve on the South Region Committee; however, my current term is coming to an end. I would very much like the opportunity to continue to serve on FINRA's committees. As a small firm, we have found the engagement and outreach by FINRA to small firms to be invaluable. Over the years, members of our Firm have had the opportunity to serve on various FINRA committees and in a variety of capacities, including on this Small Firm Advisory Committee. The discussion that occurs and relationships that are formed through these FINRA committee meetings are invaluable.

Our Firm was established in 1945. Over the years, we have developed a number of business lines including traditional retail, institutional fixed income and equity trading, municipal underwriting, investment banking and municipal advisory. Due to the complexity of our business mix, we are almost always impacted by new rules proposed by FINRA and the SEC. Often the rules proposed can be onerous for small firms given the resources available; therefore, having the opportunity, prior to the implementation of the rules, to discuss with FINRA the impact that such rules would have on small firms as well as providing feedback on reasonable alternatives to regulation is extremely valuable.

David W. Wiley, III, the Firm's president, and myself have a network of small firms with whom we are in frequent contact. Topics of discussion with peer firms is often about new regulation and also processes in place to remain compliant with existing regulation. This Small Firm Advisory Committee would be a forum where I could share the feedback of peer firms and also deliver back to those same firms updates on FINRA's rule making process.

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 with Wiley Bros.-Aintree Capital for 16 years. I have been involved in Compliance since joining the Firm, but have officially been a Compliance Officer of the Firm since 2017.

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Link to YouTube video: _____