

Attachment A: Profiles of Mid-Size Firm NAC Member Candidates

- Kim Chapman – Chief Compliance Officer, Berthel, Fisher & Company Financial Services, Inc.
- Gregor Maitland – Chief Risk Officer, Steward Partners Investment Solutions

Kim Chapman Berthel, Fisher & Company Financial Services, Inc.

Kim Chapman is the Chief Compliance Officer of Berthel, Fisher & Company Financial Services, Inc., a position she has held since late 2020. Prior to that, she was the chief compliance and AML officer for SS&C Market Services, Inc., a start-up clearing organization. Kim has more than 20 years of experience in compliance, including with business models encompassing captive audiences, franchised models and independent models. She has worked in the retail space, a fintech model, investment banking, and product manufacturers in both insurance and mutual funds. Kim has experience in new firm registrations and closing a clearing operation while maintaining the broker dealer. She has worked at large firms with over five thousand registered reps and small firms with fewer than 50 registered persons. Kim is currently a member of FINRA's Mid-West Regional Committee. She has also been an active member with SIFMA, FSI and NSCP. Kim is Series 6, 7, 14, 24 and 99 registered.

Gregor Maitland Chief Risk Officer, Steward Partners Investment Solutions

Gregor Maitland is the Chief Risk Officer for Steward Partners Investment Solutions, a position he has held since early 2022. Prior to that he served as the Chief Compliance Officer for Lincoln Financial Network, which encompassed two dual registrant BD/RIA firms. Gregor has over 20 years experience working in the financial services industry with experience in trading, operations and compliance. He has experience in working with both large and mid-sized firms with a variety of affiliation models, both employee and independent contractor.

Gregor has previously served on FINRA District Committees and the Securities Industry/Regulatory Council on Continuing Education. Gregor is an active member of the Financial Services Institute and currently serves as Chairman of FSI's Compliance Council. Gregor maintains the following securities registrations: Series 4, 7, 24, 53, 63 and 65.