

Candidate Profile Form—SFAC Election

Candidate Name: **ROBERT (BOB) HAMMAN**

Title: **PRESIDENT & CHIEF COMPLIANCE OFFICER**

Firm: **FIRST ASSET FINANCIAL**

Candidate Biography and Personal Statement

As a Small Firm Advisory Committee Member (SFAC) representing 14 states from 2018 to 2020 and a short tenure prior to that filling a vacated position, I was committed to upholding a common sense approach to regulation. I served with three members who went on to become national FINRA Board Members. I witnessed the value of the SFAC in providing guidance to FINRA staff regarding the potential impact of proposed regulatory initiatives on small firms, much of which FINRA listened to and took into consideration in recasting the regulations. Initially, I flew to FINRA headquarters for the meetings, but in the latter part of my tenure, we met virtually. I feel that I could add value as a SFAC member based on my prior experience on the SFAC.

For over 40 years, I have been President and the Chief Compliance officer of several broker dealers (in most as an owner). In this capacity I authored the WSPs, created the firm element of CE, supervised as many as 50 brokers, created FOCUS reports, was the subject of over 30 annual audits and took the lead on over 14 regulatory examinations. I have extensive compliance experience and am intimately familiar with the regulations on a practical basis. Perhaps more importantly, I have been (and am) a retail Registered Representative and have conducted “kitchen table” sales, completed new account forms, wrote tickets, all giving me an empathy for the Registered Representative position.

I have been in the securities industry since 1976 and hold the following licenses: General Securities (S7-41 years), General Securities Principal (S24-36 years), Financial & Operation Principal (S27-30 years), Municipal Principal (S53-35 years), Registered Options Principal (S4-35 years) & Uniform Investment Advisor (S65-10 years). I also hold a bachelor and masters degree from a division II school. My peers elected me to the FINRA District 4 District Committee (Kansas City) in 2013 and I served a full term ending in 2016. As a member, I provided input on proposed FINRA policies. During my tenure I was able to serve on a disciplinary panel as well. After serving on the District 4 FINRA Committee I served on the Regulatory Advisory Committee (RAC) providing input on proposed rules & regulations.

Away from FINRA I have served on the Emporia State University Foundation Board of Trustees, as President of the area Boy Scouts of America Council and serve on the church Stewardship Committee. I would like to be a part of the Small Firm Advisory Committee and have the opportunity to aid in providing input to be sure that proposals make sense and are reasonably designed to achieve their stated purpose while minimizing impairment to small firms. I think SFAC members can, and do, make a difference and I wish to have an opportunity to continue to make that difference for small firms and, therefore, I request the opportunity to represent small firms on the Small Firm Advisory Committee.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—SFAC Election

Candidate Name: **Dennis Kerlin**

Title: **Chief Compliance Officer**

Firm: **Optiver Execution S⁺**

Candidate Biography and Personal Statement

I am an experienced candidate with a 12 year tenure as CCO at various broker-dealers: I was previously at Spot Trading LLC and am currently the CCO of two broker-dealers, Optiver Execution Services LLC and Optiver US LLC, as well as a third, non-BD trading entity: Optiver Trading US LLC.

Optiver Execution Services is an SEC-registered, FINRA-regulated, agency broker-dealer that classifies as a FINRA small firm pursuant to Article 1(w) of the FINRA By-Laws.

Prior to my role as a CCO, I was a Compliance Officer at Goldman Sachs for 8 years, covering first their options market-making business before moving on to their clearing business.

I began working in the industry at Chicago Board Options Exchange.

I currently hold the following FINRA registrations: Series 4, 7, 24, 27 (with Series 14 and 57 credit).

Currently, I serve on the Business Conduct Committees for both the Cboe and Miax family of exchanges. I previously served on the ISE and ISE Gemini Business Conduct Committees.

I am responsible for ensuring the Firm's Written Supervisory Procedures are reasonably designed to comply with SEC, CFTC, and all relevant securities and futures exchange rules.

In my current role, among many other responsibilities, I assess the potential impact of proposed regulatory rules across both the 20+ exchanges of which Optiver is a member and FINRA. Additionally, I am a control-minded person whose outlook is: "What is good for the market is good for Optiver."

I believe my passion for compliance, my experience as a CCO and Compliance Officer, advising a variety business lines across different products and serving as a board member of numerous business conduct committees, makes me an ideal candidate to serve on FINRA's Small Firm Advisory Board. Specifically, my background in customer, proprietary trading and clearing businesses enhances my ability to analyze potential areas of concern for small firms. Having exchange experience as allows me to take all relevant perspectives into account. Finally, my current role as CCO of both small and larger BDs provides insight into how proposed rules and regulation apply across different size BDs.

I ask for your vote in the upcoming SFAC election. Thank you for your consideration.

Dennis Kerlin

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/dennis-kerlin-77807b6/>

Link to YouTube video:

Candidate Profile Form—SFAC Election

Candidate Name: **Carlos Javier Legaspy**

Title: **President and CEO**

Firm: **Insight Securities**

Candidate Biography and Personal Statement

I was born in El Paso, TX in 1967 yet I grew up and lived in Mexico until 1989 when I finished my studies in Information Systems at Tecnologico de Monterrey in Monterrey Mexico. Immediately after I worked at IBM's Latin-America headquarters in North Tarrytown New York and that's how I moved to the United States in 1990. In 1991 a Mexican owned broker-dealer hired me and then is when I entered the securities industry. I was eventually promoted to be head of International Private Banking for Serfin Securities, Inc. In 1996 I decided to go independent and moved to San Diego, CA to a firm called Investment Placement Group. In 2002 I moved to a Chicago based firm called Horwitz and Associates opening an independent Office of Supervisory Jurisdiction that managed a team of registered reps. In 2012 I acquired Horwitz and Associates and renamed it Insight Securities. I have been registered with Insight for 21 years and have owned it for close to 11 years. We focused on serving the Latino market both in the U.S. and internationally. Because of my ownership and age of the firm we are recognized as the oldest Certified Minority Owned Broker-dealer in the country. Outside work I am a published book author, certified training leader of a non for profit entity called Mankind Project International. I am also a director of several LGBTQ+ rights organizations.

I believe that a representative of a small firm that caters to the latino market will enhance FINRA's multi-cultural and inter-cultural awareness and confirm with actions when it states its committed to diversity.

My 30 plus year career has touched most areas of the securities industry, from trading, sales, investment banking, compliance and operations. My experience can bring a well rounded perspective to the matters brought to the committee.

Optional Links:

Link to personal website, resume or CV: **carloslegaspy.com**

Link to YouTube video: