



# SECURITIES INDUSTRY INSTITUTE

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*Chief Operating Officer*  
Cetera Financial Group  
SII Chair – 2026  
SII Vice Chair – 2025, 2024  
2010 SII Graduate

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*Managing Director – Chicagoland Market*  
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SII Vice Chair – 2026  
2023 SII Graduate

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*Managing Director, Head of Repo Trading and Sales*  
Marex  
SII Vice Chair – 2026  
2019 SII Graduate

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*Senior Manager, Financial Operations, Principal & Treasurer*  
Vanguard  
SII Vice Chair – 2026  
2014 SII Graduate

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BNY Mellon  
2023 SII Graduate

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2018 SII Graduate

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2017 SII Graduate

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2018 SII Graduate

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2021 SII Graduate

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FNZ Securities USA  
2022 SII Graduate



## SECURITIES INDUSTRY INSTITUTE

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Lincoln Financial Distributors  
2013 SII Graduate  
SII Vice Chair – 2025, 2024

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Pershing  
2019 SII Graduate

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*Director, Operations*  
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2019 SII Graduate

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Fidelity Investments  
2026 SII Graduate

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2025 SII Graduate

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Hightower  
2022 SII Graduate

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2024 SII Graduate

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2017 SII Graduate

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Aspen Standard Wealth  
2024 SII Graduate

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Broadridge Financial Solutions, Inc.  
SII Vice Chair – 2023, 2022, 2018, 2017  
1994 SII Graduate

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*VP Operations - Wealth & Investment Management*  
Northwestern Mutual  
2011 SII Graduate

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Bank of America  
2015 SII Graduate

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*Senior Managing Director of Service*  
Cetera Financial Group  
2026 SII Graduate

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*Senior Vice President & Associate General Counsel*  
LPL Financial  
2016 SII Graduate

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*President and CEO*  
Hunter Associates  
SII Vice Chair – 2025, 2024, 2018, 2017  
2013 SII Graduate

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*CSO Individual Solutions*  
Principal Financial Group  
2016 SII Graduate



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SII Chair – 2025, 2024

SII Vice Chair – 2023, 2022

2005 SII Graduate

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*Managing Director – Wealth Management USA*

UBS Financial Services Inc.

SII Chair – 2017, 2016

2009 SII Graduate

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*Co-lead, Senior Investor Compliance Services*

Stevens & Lee

SII Vice Chair – 2022

2007 SII Graduate

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*Senior Vice President, Business Development*

The American College of Financial Services

2013 SII Graduate

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*Head of Operations as a Service*

BetaNXT

SII Chair – 2021, 2020

SII Vice Chair – 2019

2011 SII Graduate

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*Industry Consultant*

SII Vice Chair – 2018, 2017

2010 SII Graduate

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SII Chair – 2023, 2022

SII Vice Chair – 2021, 2020

2012 SII Graduate

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SII Chair – 2015, 2014

1997 SII Graduate

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SIFMA

2011 SII Graduate

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