Candidate Profile Form—Regional Committee Election (*this page will be displayed on finra.org*)

Candidate Name: **John Taylor-Jones**

Title: Chief Compliance Officer , AML Officer

Firm: Private Client Services

Candidate Biography and Personal Statement (*3,000 character limit - approximately 500 words*)

I am currently the Chief Compliance Officer and AML Officer for Private Client Services (PCS), a dually registered BD and RIA located in Louisville, KY.

I entered the Financial Services industry in 1991 as a producing Registered Representative and transitioned to Operations and Compliance. I have experience working with insurance affiliated, bank affiliated, and independent member firms throughout my 36 year career.
Prior to joining PCS I owned a consulting firm providing compliance and branch examination services to member firms throughout the US.

I have held various positions including CCO, COO, Compliance Officer and FinOp for multiple firms. I have also presented at numerous industry conferences and round tables, including the 2025 FINRA Annual conference.

Private Client Services has over 500 registered representatives and 200+ branches located throughout the Midwest and across the United States. We primarily service independent RIA firms who utilize a broker dealer for commission-based customer accounts. We also have our own RIA.

My contribution to the regional committee would be representing the interests of independent retail firms in our region. I am currently filling an appointed position on the committee which closes at the end of 2025.

I am running for the regional committee because I want to contribute to the decisions being made by our SRO and to ensure the needs and concerns of independent retail firms are included in the process. Our industry is changing quickly and with that change there is a common belief that industry rules need to be updated accordingly. Each sector of our region needs to be well represented on these advisory committees so that as rules are updated, they are done so with the needed perspective of the member firms, and I would be honored to represent our region in this capacity. I appreciate your consideration, and welcome any feedback or contact related to my candidacy.

Optional Link:

LinkedIn Profile: **www.linkedin.com/in/john-taylor-jones-7004092**