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

Candidate Name: **John C. Crittenden, III**

Title: Chief Operating Officer / Chief Compliance Officer

Firm: FTI Capital Advisors

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

Mr. Crittenden is the Global Chief Compliance Officer / Global Chief Operating Officer and Executive Representative of FTI Capital Advisors, LLC an international middle market investment bank specializing in private capital raising and M&A advisory with offices in 13 countries supervising over 100 representatives. He is also the COO and CCO of FTI's SEC investment advisor, FTI Capital Management (Cayman) Ltd. which acts as receiver, replacement manager, liquidator and wind down manager for stressed funds and also serves as the AMLCO and MLRO. Based in Washington, D.C. and McLean Virginia, during the years he has conceived, built and led retail and institutional de novo broker dealers and served in permanent and interim executive roles including CEO, CCO, COO, at retail and high net worth wealth management firms, registered investment advisors, insurance and institutional securities firms.

In addition to his roles with FTI Capital Advisors and FTI Capital Management, Mr. Crittenden's expert witness and consulting occurs at the confluence of the capital markets and regulatory compliance. He is sought after for business transformation assistance to healthy, stressed and distressed firms undergoing challenges and in need of strategic options. He has been selected as SEC independent consultant in SEC, NYSE and FINRA enforcement and arbitration matters and as expert witness and litigation consultant to law firms concerning RIA and BD standup, policies and procedures, disclosure, fiduciary obligations, conflicts of interest, supervisory structures, corporate governance and financial fraud.

Prior to joining FTI, Mr. Crittenden was the President and Chief Compliance Officer for Marsh & McLennan's SEC Registered Investment Adviser and MMC Securities' FINRA registered broker dealer subsidiary. Earlier in his career, Mr. Crittenden was SVP Head of Retail Wealth Management / Investment Advisory at Riggs National Bank of Washington and several other D.C. area financial institutions.

Significant expert matters:

• Hired by SEC Inspector General as IA Act industry compliance expert to investigate the failure of the SEC Office of Compliance Inspections and Exams ("OCIE") to uncover the Madoff Ponzi scheme;
• hired by ownership as CEO/CCO of Surge Trading (formerly Madoff securities) to liquidate and wind down the firm;
• Investment Advisory Act industry expert in FINRA arbitration regarding sales of Madoff feeder funds; disclosure, supervisory, suitability, diligence failures;
• elected by shareholders as replacement Investment Advisor and Independent Director for two Bear Stearns hedge funds
• independent director of a Cayman Islands registered hedge fund to investigate and report on conflicts;
• hired by creditor committee to reconcile and recommend action on Trustee's Allocation Motion for Lehman Bros. largest bankruptcy cases involving an investment bank;
• various other matters

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/john-c-crittenden-iii-crcp-53203319/**