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

Candidate Name: **Michael Wadkins**

Title: Chief Brokerage Officer

Firm: Composer Securities LLC

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

My name is Michael (Mike) Wadkins, and I am honored to be a candidate for the Small Firm seat on the FINRA District 9 Committee. I am passionate about supporting small firms and ensuring that our voices are heard as the industry continues to evolve with new technology, like AI. I hold a B.S. in Business Administration from Old Dominion University. My professional journey began in technical and customer-focused roles at companies such as Automatic Data Processing and Apple. These early experiences taught me the value of operational excellence, clear communication, and a client-centric approach, which have served me well throughout my career.

I transitioned into the financial services industry at Public.com, where I worked in broker-dealer and customer operations. During my time there, I earned my Series 7 and 63 licenses and worked closely with retail investors. This role gave me firsthand insight into the rapid growth of retail investing and the new challenges and responsibilities that come with serving an increasingly diverse investor base.
Seeking broader leadership experience, I joined Composer Securities, where I currently serve as Chief Brokerage Officer and Options Principal. At Composer, I oversee daily operations, accounting and finance, compliance, trading, regulatory reporting, client management, and business development. I earned my Series 24 and Series 4 licenses and was responsible for leading the firm's transition from a dual RIA/Broker-Dealer model to operating solely as a Broker-Dealer. This experience deepened my understanding of the pressures small firms face: balancing regulatory compliance, delivering seamless client experiences, and driving business growth.

I am running for the District 9 Committee because I believe I can be an effective advocate for small firms. I understand the challenges we face. There are resource constraints, regulatory complexity, and the need to innovate while maintaining the highest standards of compliance. My goal is to help small firms thrive by ensuring that regulatory requirements are clear, fair, and practical, and by working with FINRA to streamline processes wherever possible. I will bring a collaborative, solutions-oriented mindset to the committee, drawing on my experience managing compliance and operations in a fast-growing firm.

If elected, I will work to ensure that small firms can focus on what matters most: serving their clients and growing their businesses. I am committed to transparency, open communication, and representing the interests of all small firms in our district. I respectfully ask for your support and your vote in this important election. Thank you for your consideration.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/mikewadkins/**