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

Candidate Name: **Sharon Gaviria**

Title: Chief Financial Office - Chief Compliance Officer

Firm: Stuart Frankel and Co. Inc.

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

Sharon Gaviria is a seasoned financial and compliance executive with over 20 years of experience in the securities industry. As Chief Financial Officer and Financial Operations Principal (FINOP), she has cultivated deep expertise in financial operations, regulatory compliance, and strategic business leadership.

Sharon has built and overseen firm-wide compliance programs aligned with FINRA regulations, focusing on risk mitigation, internal control development, and operational integrity. Her leadership has been instrumental in aligning business goals with regulatory expectations, guiding firms through complex challenges, and ensuring ongoing adherence to FINRA rules and industry standards.

Her unique ability to bridge compliance, finance, and executive decision-making has positioned her as a trusted advisor within her organization and a strong advocate for sound regulatory practices. Sharon's work reflects a proactive, solutions-oriented approach to navigating the regulatory environment and promoting best practices in governance and compliance.

Sharon served as a member of the Executive Management Committee and was the exclusive point person for two major acquisition transactions involving leading domestic and international financial institutions.

Personal Statement
With over two decades of hands-on experience in financial operations and regulatory compliance, I am eager to bring my perspective and industry knowledge to the FINRA Regional Committee. My career has been dedicated to helping firms not only meet regulatory requirements but also build resilient, transparent, and ethical business practices.

Having led compliance initiatives through changing regulatory landscapes, I understand the practical implications of FINRA rules on member firms, especially smaller and mid-sized firms that may face resource constraints. I've navigated examinations, responded to regulatory inquiries, and worked closely with FINRA to address evolving expectations, giving me valuable insight into how regulations can be implemented effectively while still supporting business growth.

I believe the Regional Committee plays a critical role in ensuring that the voices of member firms are heard, and I am committed to contributing meaningfully to that dialogue. I would advocate for thoughtful regulation, foster open communication between firms and FINRA, and promote a collaborative approach to industry challenges.

It would be an honor to serve and support the continued integrity and strength of our industry.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/sharon-gaviria**