

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

Candidate Name: **Anthony Cavallaro**

Title: Chief Compliance Officer

Firm: Robinhood Financial, LLC

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

I am honored to submit my nomination for the FINRA Regional Committee. With more than 30 years of experience in compliance and regulation, I have dedicated my career to advancing investor protection and strengthening the integrity of U.S. markets. Having served on both the regulatory and industry sides, I bring a unique perspective I believe will be valuable to FINRA 's mission of safeguarding investors while ensuring the effectiveness of regulation.

I currently serve as Chief Compliance Officer for Robinhood Financial LLC and Robinhood Securities LLC. In this role, I am responsible for leading compliance strategy and regulatory engagement across two broker-dealers. My focus has been on fostering a strong culture of compliance and ensuring that our systems, controls, and governance structures remain both resilient and adaptable. I lead efforts to align business growth with evolving regulatory expectations while also supporting responsible innovation.

Previously at Robinhood, I held senior leadership roles focused on customer trust, safety, and regulatory services. In these capacities, I oversaw the development of processes and frameworks that enhanced customer protections, mitigated risks, and strengthened transparency with regulators.

Before joining Robinhood, I spent 24 years at FINRA and the New York Stock Exchange, where I served as Senior Vice President and Vice President across several divisions, including Enforcement, Member Regulation Sales Practice, and the National Cause and Financial Crimes Detection Program. These roles provided me with a deep understanding of FINRA 's operations, priorities, and the regulatory challenges firms encounter. Importantly, my time at FINRA gave me firsthand insight into how regulation impacts firms of all sizes, while my industry experience allows me to appreciate the operational realities that member firms face. This dual perspective enables me to bridge regulatory responsibilities with practical, solutions-oriented approaches that serve both investors and firms.

Beyond my professional career, I have been deeply committed to public service. I proudly served 20 years in the U.S. Army Reserves and am a combat Veteran instilling in me a strong sense of duty, discipline, and teamwork. I served eight years as President of Port Washington Youth Activities where I helped expand programs that benefited hundreds of families. Today, I continue to give back by chairing the Florida Securities Dealers Advisors ' elder fraud awareness training committee.

If elected to the FINRA Regional Committee, I will bring a collaborative, solutions-oriented approach grounded in both regulatory and industry experience. I will engage with other firms to educate them on FINRA's responsibilities, and work constructively to strengthen investor protections. My goal is to help ensure that FINRA's regulatory framework continues to evolve in a way that is effective, efficient, and aligned with its mission.

Optional Link:

LinkedIn Profile: <https://www.linkedin.com/in/anthony-cavallaro-3211486/>