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

Candidate Name: **Ronald Olexsak**

Title: Chief Compliance Officer

Firm: Thornburg Securities LLC

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

A panelist at this year ' s FINRA National Conference encouraged attendees to get involved in Committee opportunities, and my ongoing experience with FINRA has been nothing but positive. Between regular interactions with my Risk Monitoring Team and attendance at years of FINRA Conferences and Events, I hope my experiences position me to move into a contributor role both within my Region and beyond. I hold an MBA along with a General Securities Principal and Municipal Securities Principal Registrations.

I have previously served on the CE Council for FINRA and the continuing education community. During that four-year term, I was privileged to be a part of content review, financial conversations and reporting, and a contributor to the implementation of the Maintaining Qualifications Program. That exposure along with my previous completion of the CRCP Program at Wharton was instructive into the challenges of varying sized firms and the many topics that face the SRO-managed community of Broker-Dealers. I was able to meet an incredible variety of talented people from both the FINRA community and the BD space, and the experience enhanced my ability to serve in my current role as CCO.

My experience in the industry, dating back to 1997, includes both the largest of large firms (Vanguard) and a small firm positioned away from both large cities and large employee pools (Thornburg Securities LLC). I relocated to a dually registered small firm in Santa Fe, NM, Thornburg, where I served first as a Compliance Officer on a small team of professionals and now BD CCO for the last 13 years. I have experienced multiple FINRA and SEC exams, Registration changes through the MAP process, onboarded numerous Associated Persons, gone through the Registration and Testing process with hundreds of employees, and assisted management and Human Resources with difficult situations including the termination of employees for both exam failure and job performance issues.

My approach to job challenges has been, and must be, flexibility within the guardrails of our industry ' s laws, rules, and regulations. I believe my experiences for the last 17 years here at Thornburg have shown me many of the challenges of a small firm and of one not located in a large metropolis and the challenges that size and location present.

My experience in the Western United States has shown me that while there are larger BD communities in places like Denver, Los Angeles, or Phoenix, being away from the buzz of the main industry centers like New York or Washington, DC bring different challenges into the mix – exposure and availability of government and SRO resources, a different pace of NASAA interactions, and time zone differences that bifurcate the need to staff to both the NYSE hours and the later demands of a Western US client base. I think I could bring experiences like these to a role on the Regional Committee.

Optional Link:

LinkedIn Profile: **www.linkedin.com/in/ronolexsak**