

Candidate Profile Form—SFAC Election (New York Region) *(this page will be displayed on finra.org)*

Candidate Name: **DiAnne Calabrisotto**

Title: Chief Operating Officer & Chief Compliance Officer

Firm: Siebert Williams Shank & Co., LLC

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

Personal Statement:

My 40+ years of experience in the securities industry gives me a deep understanding of the rulemaking process from both a regulatory and industry perspective. Our industry continues to evolve at an extraordinary pace; it is imperative that we develop a balance between the underlying purpose of various rule proposals and the resulting impact on the industry at large, being mindful to avoid creating unnecessary burdens and/or barriers for industry participants. I am currently a FINRA District 10 Regional Committee member and see first-hand how impactful committees are when consulting with FINRA on proposed policies and rule changes. As a founding member of an independent introducing broker-dealer, my perspective from operating within this unique business model would also add value to the Small Firm Advisory Committee's discussions.

Biography:

DiAnne Calabrisotto, Chief Operating Officer & Chief Compliance Officer

DiAnne Calabrisotto is Chief Operating Officer (COO) & Chief Compliance Officer (CCO) of Siebert Williams Shank & Co., LLC (SWS), an independent broker-dealer dually headquartered in New York and Oakland, and CCO of SWS affiliate SWS Capital Management, LLC, a SEC-registered investment manager.

As one of the founding members of The Williams Capital Group, L.P. in 1994, a predecessor firm of SWS, her tenure in the financial services industry spans 40 years centering primarily on institutional financial services with strong emphasis on operations, finance and compliance. Ms. Calabrisotto has been instrumental in helping SWS grow to be one of the most active underwriters of U.S. investment grade corporate bonds, developing its internal controls and operations systems, assisting in strategic planning and structuring key strategic business alliances. Her experience, leadership, and inclusive management style focus on creating and delivering technology-driven, cost-efficient solutions, and collaborating with senior management teams to strengthen operational processes and accomplish firm goals.

Prior to SWS, Ms. Calabrisotto held positions at Prudential Securities, Tucker Anthony and Jefferies & Company, Inc. She is published in two academic textbooks that outline the uses of financial derivatives in the capital markets, *The Handbook of Derivatives & Synthetics* and *Advanced Interest Rate and Currency Swaps*. She enjoys giving back to her communities through non-profit board participation and volunteer projects at the local and national levels. An advocate for operating efficiency at both work and home, Ms. Calabrisotto is also a patented inventor of the Personal Rolling Valet.

Optional Link:

LinkedIn profile: _____