

To: Jeffrey Epstein[jeevacation@gmail.com]
From: Jeffrey Epstein
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Subject: quinn

Chief Risk Officer

As Chief Risk Officer at First Allied, Mr. Quinn focuses primarily on the design and review of systems and processes with the goal of mitigating legal, regulatory and other risks encountered by the firm. He has overall responsibility for the Supervision, Compliance, Legal and Investment Advisory Compliance groups, and works closely with all functional areas of the firm. Before joining First Allied, Mr. Quinn was in private law practice, primarily representing broker/dealers and investment advisers in addition to serving as an arbitrator and mediator at FINRA Dispute Resolution, Inc. From 1998 through 2008, he served as Senior Vice President and General Counsel of Royal Alliance Associates, Inc., a broker/dealer and investment advisory firm located in New York. In that role, he had overall responsibility for the legal and compliance functions of the firm, including litigation and regulatory matters, design and review of compliance systems and programs, and other corporate legal matters. Prior to joining Royal Alliance, Mr. Quinn practiced law in New York City. Mr. Quinn is a frequent speaker at legal and securities industry meetings on topics relating to sales and distribution of securities and investment advisory services. He is a former Chairman of the Compliance Council of the Financial Services Institute, a former member of its Board of Directors, and holds a bachelor's degree in finance from Arizona State University, and Master of Business Administration and law degrees from the University of Denver.

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