

COMPLIANCE THROUGH COLLABORATION

NICK PASSARELLI



Nick Passarelli has been working in Regulatory Compliance since 2003. Currently, he is the Chief Compliance Officer of a FINRA registered Broker Dealer, a role that he has held since 2009.

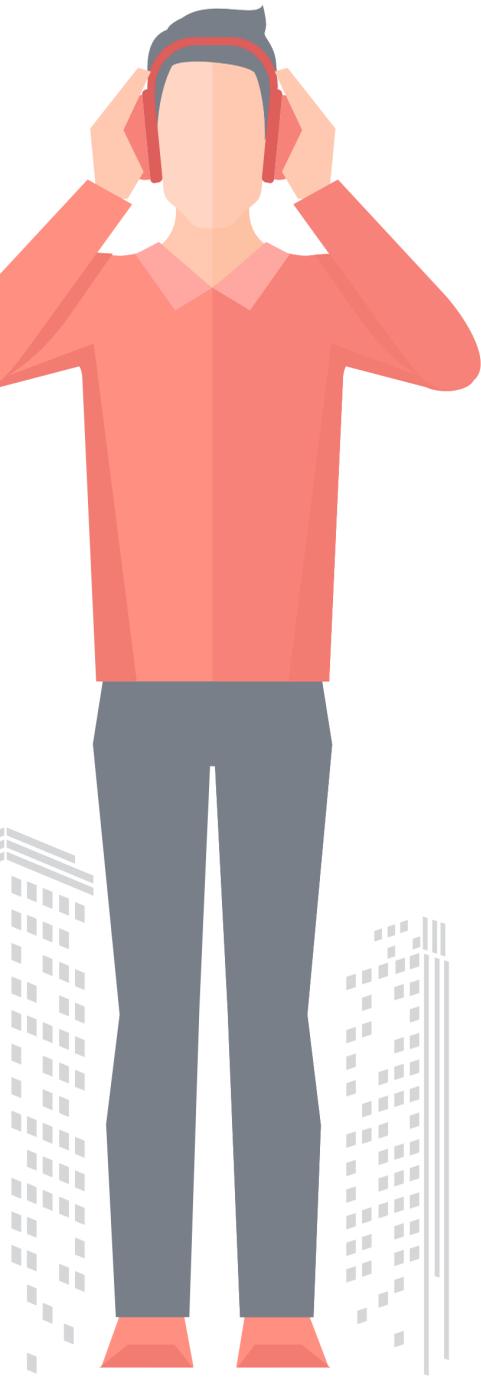
Nick began his career working in Human Resources at two larger firms. He holds a B.A. from St. John's University and an M.B.A. from the Zicklin School of Business at Baruch College. He also has the Series 4, 7, 9, 10, 24, 63 and 99 professional securities licenses.

Nick has lived in Hoboken, NJ since 2007 and is very active in the community. He has served as a volunteer coach in the Hoboken Youth Soccer League the past five years. He is also involved in the planning of the Swing Fore The Schools golf event, which benefits the Hoboken schools. He's been involved in this since 2013 and is Chairing the 2018 event.

On a personal level, Nick is a big believer in physical fitness. He is either at the gym lifting weights or running on a regular basis. He ran the 2016 NYC Marathon on behalf of the Army Ranger Lead The Way Foundation raising nearly \$14,000 for an incredible organization.

During his free time, you can find Nick chauffeuring his wife and two kids around Hoboken.

TODAY'S SUBJECTS



How his network helped him get back in the workforce.



Having an open-door policy makes an appreciable difference



Make people realize that you are a person too



Humanizing yourself helps expand your network



Establishing rapport is a great way to start a relationship



Remembering certain details of their life will make them trust you



How physical activity gets him ready for the rest of his day



Sometimes you and someone else can help each other later on, but not right now



How reading is a great way to mentally exercise



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