

BREAKPOINT TASK FORCE – WORKING GROUPS
Roster of Members

COMMON DEFINITIONAL STANDARDS WORKING GROUP (*Recommendation A*)

- ***Working Group Chairman:*** Marlene Mills
- ***Working Group Members:***

Stuart Bowers	Scot Hawthorne	Barbara Simon
Donald Caristi	Sharon Hockersmith	Mark Swenarton
Amy Carter	Jacqueline Nusbaum	Cheryl Walker
Barry Feller	Carsten Otto	Doug Wood
M.J. Hamilton	Gary Rawdon	
Chris Hansen	Brian Shaw	

CENTRAL BREAKPOINT WORKING GROUP (*Recommendation B*)

- ***Working Group Chairman:*** Barbara Simon
- ***Working Group Members:***

William Alsover	M.J. Hamilton	Jacqueline Nusbaum
Ginny Cattaneo	Tom Iandolo	Nino Palermo
Ira Cohen	Valerie Kay	Al Rubin
Elisa Colkitt	Dan Letourneau	John Taylor
James Coscia	Dave Long	Beth Walker
Steve Cutka	Kyle Mallot	Susan Warner
Colleen Daly	Susan Mathai	James Waters
Reno A DeTillio	Kirsti Munro	Jim Whittemore
Mike Doyle	Tim Ney	Bill Winter
Robert Green	Robert North	Doug Wood

PROSPECTUS/WEBSITE DISCLOSURE AND CUSTOMER ROLE IN ASSISTING IN SECURING BREAKPOINTS WORKING GROUP *(Recommendations C and G)*

▪ ***Working Group Chairman:*** Frances Stadler

▪ ***Working Group Members:***

Ed Bergan	Art Fritz	Domenick Pugliese
Dorothy Bourassa	Ken Gorvetzian	Christina Simmons
Anmarie Ciccolo	Mike Hession	Bill Woolverton
Buddy Donohue	Allan Oster	
Katherine Feld	Carsten Otto	

CONFIRMATION DISCLOSURE WORKING GROUP *(Recommendation D)*

▪ ***Working Group Chairman:*** Stuart Bowers

▪ ***Working Group Members:***

Joe Charpentier	Valerie Kay	Tom Roberts
Jim Coscia	Tim Maisonet	Denise Samson
Russell Curtis	Steve Oppenheimer	Darryl Siefker
Jerry Fiore	Nino Palermo	Barbara Simon
Lisa Flannery	Bob Palleschi	Richard Smith
Eileen Gilfedder	Justine Phoenix	Randy Solomon
Kelle Hennier	Fred Potts	Jim Whittemore

**USE OF STANDARDIZED CHECKLISTS/RECORD OF LINKAGE INFORMATION
WORKING GROUP (Recommendations E and F)**

▪ ***Working Group Chairman:*** William Alsover

▪ ***Working Group Members:***

Hardy Calcott	Hugh Makens	Bob Patterson
Donna Daniels	Tony Naccarelli	Mark Swenarton
David Falb	Tim Ney	Eric Tepper

**CONFIRMATION BREAKPOINT LEGEND/WRITTEN DISCLOSURE DOCUMENT
WORKING GROUP (Recommendations H and I)**

▪ ***Working Group Chairman:*** Mike Stone

▪ ***Working Group Members:***

Dorothy Bourassa	Bob Palleschi	Christina Simmons
Louis Branz	Robert Patterson	Mark Swenarton
Ken Gorvetzian	Domenick Pugliese	Daniel Wentworth
Mike Hession	Bill Rittling	Bill Young
Larry Lafer	Tamara Salmon	
Brett Meili	Jim Shay	

REGISTERED REPRESENTATIVE TRAINING WORKING GROUP (Recommendation J)

▪ ***Working Group Chairman:*** Ann Short

▪ ***Working Group Members:***

William Alsover	Janene Marasciullo	Tami Salmon
Jonathan Davis	Paul Middlemiss	Gregg Tyler
Bob Gulick	John Moloney	Mike Udoff
Jeff Holik	Eric Moss	
John Linnehan	Michael Rufino	

**B/D TRANSMISSION OF TIN/BIN DATA TO FUNDS AND TRANSFER AGENT SEARCHES
WORKING GROUP (Recommendations L and M)**

▪ ***Working Group Chairman:*** Lisa Klassen

▪ ***Working Group Members:***

Steve Avera	Chris Hansen	John Schmidt
Ken Beard	Kathy Joaquin	Jerry Scott
Stuart Bowers	Chris Keller	Barbara Simon
Scott Brady	Dany Letourneau	Sue Stickland
Dineene Collins	Derrick Mosley	Brendan Sullivan
Mike Doyle	Tony Naccarelli	Beth Walker
Doug Dressel	Bob North	Stacy Weber
Jerry Fiore	Brian O'Loughlin	Doug Wood
Eileen Gilfedder	Chris Rhodes	
Bob Green	Al Rubin	