

Election Notice

FINRA Announces SFAB, NAC and District Committee Election Results and Appointments

December 15, 2017

Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

Executive Summary

FINRA recently concluded elections to fill vacant seats on the Small Firm Advisory Board (SFAB), National Adjudicatory Council (NAC) and District Committees. Additionally, the FINRA Board appointed individuals to fill other vacancies. This *Notice* lists the individuals elected and appointed to fill vacancies on the SFAB, NAC and District Committees.

Questions concerning this *Election Notice* may be directed to:

- ▶ Marcia Asquith, Executive Vice President, Board and External Relations and Corporate Secretary, at (202) 728-8949; or
- ▶ Jennifer Piorko Mitchell, Vice President, Corporate Governance and Deputy Corporate Secretary, at (202) 728-8949.

Small Firm Advisory Board Election Results

FINRA small firms elected the following individuals to fill open seats on the SFAB:

North Region Representative (filling a partial-term vacancy)

- Catherine A. Cucharale, Chief Operating Officer and Chief Compliance Officer, M. Griffith Investment Services, Inc.

South Region Representative

- Linde Murphy, Chief Operating Officer and Chief Compliance Officer, M.E. Allison & Co., Inc.

Midwest Region Representative (uncontested)

- Robert L. Hamman, President and CCO, First Asset Financial, Inc.

The FINRA Board also appointed the following individuals as At-Large SFAB Members:

- Wendy Lanton, Chief Operations and Compliance Officer, Lantern Investments, Inc.
- James H. Williams, Registered Principal, Financial Telesis, Inc.

The North Region Representative was elected to fill a partial term effective immediately upon election. The terms for the remaining SFAB members begin on January 1, 2018.

National Adjudicatory Council

The following individuals were elected or appointed to fill seats on the NAC for terms beginning January 1, 2018:

Small Firm NAC Member

- Paige Pierce, Senior Vice President, Larimar Capital Corporation

Large Firm NAC Member

- Belinda Blaine, Managing Director, Morgan Stanley & Co. LLC

At-large Industry NAC Member

- Ilene Marquardt, Head of Litigation & Regulatory, UBS Wealth Management Americas

Non-Industry NAC Members

- Heidi Stam, Retired (formerly of the Vanguard Group, Inc.)
- Andrew Tuch, Associate Professor, Washington University School of Law

District Committees

The following individuals were elected to serve on FINRA District committees beginning January 1, 2018:

District 7 Large Firm Representative

- Michael Pagano, Executive Vice President – Compliance, Legal & Risk Assessment, 1st Global Capital

District 9 Small Firm Representative

- Steven D. Trigili, Chief Compliance Officer, Garden State Securities, Inc.

District 11 Mid-Size Firm Representative

- Sheelagh Howett, Chief Risk Officer, Cantella & Co. Inc.

The individuals listed below will fill the following uncontested seats:

District 1 Small Firm Representatives¹

- Alan Carlisle, Chief Compliance Officer, SoFi Securities, LLC
- Chris Charles, President, CEO/CCO, Wulff Hansen & Co.

District 2 Large Firm Representative

- Suzann LoCoco, Vice President, Compliance, CUSO Financial Services, L.P.

District 3 Small Firm Representative

- Joanne M. Salisbury, Chief Compliance Officer, E. K. Riley Investments LLC

District 3 Large Firm Representative

- Alexis Schumann, Chief Regulatory Officer, Advisor Group, SagePoint Financial

District 4 Small Firm Representative

- Amy Guthrey, Vice President, Risk Management & CCO, Burch & Company, Inc.

District 4 Large Firm Representative

- Patrick Dogan, Director – Capital Markets and Operations Compliance, Edward Jones

District 5 Small Firm Representative

- Robert Keenan, CEO, St. Bernard Financial Services, Inc.

District 6 Mid-size Firm Representative

- Abel Garcia, Jr., Senior Vice President, Risk Management & CCO, Prospera Financial, Inc.

District 8 Small Firm Representative

- Stephen S. Berkeley, Chief Compliance Officer and Regulatory Counsel, Loop Capital Markets LLC

District 9 Large Firm Representative

- Page Howard Pennell, Deputy CCO & Senior Director/Exam Management, AXA Advisors, LLC

District 10 Small Firm Representatives²

- Jay Gettenberg, FinOp, LiquidityEdge, LLC
- John Parmigiani, Chief Executive Officer, Allied Millennial Partners

District 10 Large Firm Representative

- Elizabeth Bailey, Managing Director/Chief Compliance Officer, BMO Capital Markets Corp.

District 11 Large Firm Representative

- Richard J. O'Brien, Senior Vice President/Chief Compliance Officer, National Financial Services, LLC

Endnotes

1. There was a full-term vacancy and partial-term vacancy for the District 1 Small Firm seats, which will be filled by Mr. Carlisle and Mr. Charles, respectively.
2. There were two vacancies for the Small Firm Representative on the District 10 Committee. Therefore, both candidates will be appointed to the vacant seats.