

Candidate Profile Form—District Committee Election

Candidate Name: Mark Ettinger

Title: 1st Vice President, Operations

Firm: INVEST Financial

Candidate Biography and Personal Statement

I have been in the financial services industry for over 16 years in several capacities including financial advisor, trading representative, manager of multiple business units including customer service, trading, virtual interactive sales assistant program, new accounts, account maintenance and advisory operations. I hold a Series 7, 24, 66, 53 and 99. I have a bachelor of science degree in business from Clemson University and a certificate of international studies in liberal arts from the University of Madrid, Spain. I was one of four US employees across the Jackson National Life and National Planning Holding Network chosen to attend a leadership development program conducted by our ultimate parent company, Prudential, PLC (U.K.) held at both the Oxford University S.A.I.D. business school and Prudential, PLC's operations center in Ho Chi Minh, Vietnam. This experience provided insight on regulatory environments on a global scale and the benefits and common challenges they present as well as scenario planning exposure. I am currently serving on several steering committees with Fidelity, Pershing, LLC and Envestnet ranging in topics from service, reporting, technology, advisory, compliance and most recently the Department of Labor's fiduciary rule. This provides me with considerable exposure to firms that meet the FINRA District Committee Large Firm definition to collaborate and share ideas on industry concerns, developments, upcoming and proposed tax and industry regulation and compliance related issues.

In my role as 1st Vice President, Operations, with INVEST Financial Corporation, I am responsible for 48 associates tasked to provide support services to 1050 registered representatives and 140 registered sales assistants across the United States. As the front line of defense, we are tasked to police for associate, representative and client initiated errors and to prevent all fraudulent and AML activity by complying with detailed processes, procedures and continuing education set forth to thwart negative regulatory exposure and financial liability. I am a direct liaison with three other sister broker/dealers under National Planning Holdings, Inc involved in efforts surrounding standardization, implementation and execution of the aforementioned procedures, assisting in the creation of operations and compliance forms, projects and clearing firm enhancements.

With the every changing regulatory environment, a voice is needed not only from a compliance perspective but from individuals who are in contact with the end clients and their financial representatives on a daily basis. Someone who listens to the challenges and hurdles that are presented and has the opportunity to translate these concerns, suggestions and potential solutions within forums such as industry peer committees and FINRA's District committees. Diversification is a requirement for a successful collaboration in order to reach a common goal and, I feel I would be an excellent candidate to break the mold.

I have a true passion for our clients and the industry as a whole, and given the opportunity, would be dedicated to ensuring that my time on the committee is productive and engaging. My involvement with industry leaders gives me the opportunity to share a diverse set of ideas and expand the input that I can provide to the Committee beyond the four walls of my firm.

Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—District Committee Election

Candidate Name: Joel Glasco

Title: Managing Director - Market Manager

Firm: Wells Fargo Advisors

Candidate Biography and Personal Statement

Candidate Biography

I am the PCG Market Manager for the Charlotte area offices of Wells Fargo Advisors, LLC for 10 years. I have worked in the investment and financial services industry for over three decades. I began my investment career in 1983 as a financial advisor for E.F. Hutton in Columbia, SC. I then joined Prudential Securities in 1987 and started in a management position in 1991.

Under my leadership, the market has grown from 58 financial advisors to over 100 financial advisors. I have served as an FINRA arbitrator panelist (A12919) since January of 1994.

Statement

I have been in the financial services industry for well over 30 years. I have always felt proud to be associated with this industry. I would like to run for this position to be more closely involved to maintain the integrity and the professionalism of the financial securities industry.

Having served as a branch manager, complex manager and market manager in three states over a period of 25 years, I bring a broad view of how our industry interacts with the public it serves. While at the same time, my knowledge of all the firms in the marketplace gives me an excellent view from the field of what works and what could be improved. As we approach this period of time for which there is more transparency and actions for client advocacy, field experience is extremely important to FINRA.

As a branch manager in South Carolina, I was one of the founding leaders of the South Carolina Securities Dealers Association in the early 90s and served as the Vice President for several years. Currently, I am serving in my final year on the Wells Fargo Advisors Diversity and Inclusion Committee. This journey has and will continue to be a very important mission to improve the diversity and inclusion in our industry to more accurately reflect the communities we serve.

I am honored to be nominated and if elected, I will dedicate my full attention to this three-year role in hopes to maintain the excellence that the financial services industry should deliver to their clients. Throughout my entire career I have always searched out leadership positions to create and maintain in the industry the highest level of professionalism.

Optional Links:


Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—District Committee Election

Candidate Name: Mark N. Lontchar Jr.

Title: Senior Vice President, Chief Compliance Officer

Firm: Raymond James 

Candidate Biography and Personal Statement

I have 15 years of diverse business management, compliance and legal experience in the financial services industry in both wealth management and capital markets. Since August 2014, I have served as Chief Compliance Officer ("CCO") of Raymond James Financial Services, Inc. ("RJFS"), where I lead the compliance function overseeing the firm's 3,700 independent financial advisors and Financial Institutions Division. As CCO, I am actively engaged with Raymond James' affiliated Equity Capital Markets, Fixed Income and Asset Management business units, all of which provide products and services to RJFS financial advisors.

I originally joined Raymond James in 2006 as Director - Compliance, Capital Markets where I managed compliance activities for the firm's Equity Capital Markets offices located in Europe. With the business subject to oversight by both U.S. and European authorities, I gained invaluable experience working with many U.S. and European regulators who had different approaches to investor protection and efficient market regulation. During my tenure, I also oversaw the firm's implementation of the Markets in Financial Instruments Directive, a European Union law that harmonized regulation for investment services across the 31 member states of the European Economic Area. In 2011, I was named Director, European Equities at Raymond James where I managed the firm's European Equity investment research, institutional sales and agency trading desks located in London, Paris and New York. While Director, European Equities, I served on the firm's European Operating Committee and as a registered director of the firm's United Kingdom subsidiary.

In 2013, I joined Boston Asset Management, based in Clearwater, Florida, a registered investment adviser providing portfolio management services to trust administration clients, entrepreneurs, and professional athletes.

Early in my career, I was M&A and capital markets counsel with the law firm of Holland & Knight in Tampa, Florida. I earned my law degree from the University of Tulsa College of Law and a Bachelor of Arts degree in Political Science from Kenyon College. I hold Series 4, 7, 24, 53, 55 and 63 licenses.

I believe my industry experience as a business leader and compliance officer in both wealth management and capital markets gives me unique perspective to advise FINRA on industry trends of regulatory concern and the impact of FINRA's regulatory programs on firms. I will advocate for a balanced approach to FINRA rule making and policy considerations that continues to protect investors and preserve the integrity of the markets, while providing for efficient regulation of industry participants.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—District Committee Election

Candidate Name: Michael R. Stevenson

Title: Business Development Manager

Firm: Lincoln Financial S

Candidate Biography and Personal Statement

See attached please

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/michaelstevensonpilot>

Link to YouTube video:

I have 22 years' experience in financial services. Currently I jointly own and actively operate an aggregating OSJ based in Greensboro, North Carolina. We supervise 100 registered persons, 48 non-registered staff across 45 branch locations in 27 states. Their sales involve financial planning, asset management services and product transaction business that includes mutual funds, variable annuities, life insurance, real estate investment trusts and other direct participation programs.

My work span all areas of operations, supervision, financial management, recruiting and business administration. A typical day involves working with an advisor on practical issues depending on the size of their business, their product mix and tenure with Lincoln.

Prior to joining a field organization I worked in Compliance and Operations roles for Lincoln Financial Securities. The majority of my tenure with the firm I acted as an Assistant Vice President for Compliance, reporting to the Chief Compliance Officer. That involved supervising a group that performed investor account surveillance and suitability review.

I'm seeking a district committee position to expand my industry involvement. I believe that having worked at a broker-dealer corporate office along with branch office experience with hundreds of advisors would be a positive voice. I hope that the engagement brings perspective that I can bring back to my business.

Industry credentials:

- FINRA Arbitrator (#A34867)
- Certified Regulatory and Compliance Professional (CRCP) –Awarded 2006
- FINRA Series 4, 6, 7, 24, 53, 63, 65

Candidate Profile Form—District Committee Election

Candidate Name: Daniel Woodring

Title: SVP and Chief Compliance Officer

Firm: PFS Investments

Candidate Biography and Personal Statement

CANDIDATE BIOGRAPHY: I am currently the Chief Compliance Officer of PFS Investments Inc. a dually registered broker-dealer and investment adviser, a position I have held since 2005. I first entered the financial services industry in 1994 after graduating from the University of Georgia with a double major in Finance and Risk Management, working first at a regional life insurance company and then at a national bank. In 1997, I returned to college and graduated from Georgia State University College of Law in 2000. While in law school, I worked at an Atlanta-based broker-dealer compliance consulting firm where I guided broker-dealer applicants through the new membership process and registered as and performed the duties of FinOp for several broker-dealers. In 2001, I joined PFS Investments working in the Office of the General Counsel. I currently serve as the Vice-Chair of the Financial Services Institute's (FSI) Compliance Council and a member of the National Society of Compliance Professionals.

PERSONAL STATEMENT: I wish to serve as a representative on the District Committee in order to use my experience and understanding of real world industry issues to positively impact FINRA's proposed policies and rules. We all share the goal of having effective industry regulation which imposes the lowest possible costs and unintended consequences, and I will work with FINRA staff and other Committee representatives to achieve this goal. Working at a broker-dealer with over 18,000 registered persons allows me to feel the effects of even small changes to the regulatory requirements which could go unnoticed elsewhere. This ensures I will be attuned to and invested in the issues that disproportionately affect larger broker-dealers.

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