

Contact FINRA District Committees

The District committees advise FINRA on industry trends of regulatory concern and provide input on the impact of FINRA's regulatory programs. District Committee members are interested in your comments and questions regarding FINRA's regulatory programs.

You may email your comments and questions directly to a committee member in your district by clicking a committee member's name to launch an email form.

2010-2011 Committee Rosters

District 1

Susan Katherine Campbell	Protected Investors of America	Oakland, CA
Stephen H. Chipman	Foothill Securities, Inc.	Mountain View, CA
Philip J. Economopoulos	Howe Barnes Hoefler & Arnett, Inc.	San Francisco, CA
Joseph F. Helmer	Caldwell Securities, Incorporated	Sausalito, CA
Douglas C. Heske	Nollenberger Capital Partners Inc.	San Francisco, CA
David G. McClurg	McClurg Capital Corporation	San Rafael, CA
Nancy A. Mullally	Alamo Capital	Walnut Creek, CA
Stephen C. Rogers	RFS Partners	San Francisco, CA
Robert J. Zamecki	Lighthouse Capital Corporation	Monterey, CA

District 2

Donna L. Bartlett	First Allied Securities, Inc.	San Diego, CA
S. Kendrick Dunn	Pacific Select Distributors, Inc.	Newport Beach, CA
Bardea C. Huppert	Farmers Financial Solutions	Agoura Hills, CA
Westley H. King	Centaurus Financial, Inc.	Anaheim, CA
Maureen M. Maloney	Grubb & Ellis Securities, Inc.	Santa Ana, CA
Timothy U. Morton	WBB Securities, Inc.	San Diego, CA
Steven L. Thornton	Valtus Capital Group, LLC	Tarzana, CA
Peter K. Vonk	CUSO Financial Services, L.P.	San Diego, CA

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District 3

Paul T. Amsbury	Morgan Stanley & Co., Inc.	Portland, OR
James R. Cannon	Dynamic Wealth Advisors	Scottsdale, AZ
Adam M. Carmel	Larimer Capital Corporation	Denver, CO
Kay A. Johnson	National Securities Corporation	Seattle, WA
Robert B. Joki	ING Financial Partners, Inc.	Mountlake Terrace, WA
Bruce J. Maranda	Canaccord Capital Corporation USA, Inc.	Vancouver, BC
Paige W. Pierce	RW Smith & Associates, Inc.	Sandy, UT
Edward K. Riley	E.K. Riley Investments, LLC	Seattle, WA

District 4

Dana Bjornson	George K. Baum & Company	Kansas City, MO
Christopher A. Cokinis	ING Financial Partners, Inc.	Des Moines, IA
Allen Cole	Benjamin F. Edwards & Company, Inc.	Clayton, MO
Cheryl L. Heilman	Ameritas Investment Corp.	Lincoln, NE
Craig W. Markham	Walnut Street Securities	St. Louis, MO
James E. Nelson	Minnesota Valley Investments	Redwood Falls, MN
Jennifer Relien	Woodbury Financial Services, Inc.	Woodbury, MN
Amy Webber	Cambridge Investment Research, Inc.	Fairfield, IA
William T. Yates	TD Ameritrade	Bellevue, NE

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District 5

James D. Alger	Delta Trust Investments, Inc.	Little Rock, AR
James F. Dixon, III	Sterne, Agee & Leach, Inc.	Birmingham, AL
Rush F. Harding, III	Crews & Associates, Inc.	Little Rock, AR
LeRoy H. Paris, II	Meadowbrook Securities LLC	Jackson, MS
Phillip H. Palmer	First Independent Financial Services, Inc.	Tulsa, OK
Martin F. Shea, Jr.	Vining Sparks	Memphis, TN
Sarah J. Sherck	Avondale Partners, LLC	Nashville, TN
Mark Sheridan	Johnson Rice & Company L.L.C.	New Orleans, LA
Raymond A. Thompson	Dorsey & Company, Inc.	New Orleans, LA

District 6

Darla K. Bartkowiak	Amherst Securities Group, L.P.	Houston, TX
John P. Dennis, III	Woodrock Securities, L.P.	Houston, TX
Daniel C. Dooley	Maplewood Investment Advisors, Inc.	Dallas, TX
Robert A. Estrada	Estrada Hinojosa & Company, Inc.	Dallas, TX
Frederick T. Greene	Raymond James Financial Services, Inc.	The Woodlands, TX
Jacob D. Palmer	SWBC Investment Services, LLC	San Antonio, TX
Kelly R. Welker	LPL Financial Corporation	San Antonio, TX
Wilson H. Williams	WFG Investments, Inc.	Dallas, TX

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District 7

Richard K. Bryant	Capital Investment Group, Inc.	Raleigh, NC
Ruth A. Burgess	INVEST Financial Corporation	Tampa, FL
Matthew A. Guerrise	FMSBonds, Inc.	Boca Raton, FL
Leopoldo E. Guzman	Guzman & Company	Coral Gables, FL
W. Lawrence Key	Wells Fargo Advisors, LLC	Charlotte, NC
John T. Rhett, III	SunTrust Investment Services, Inc.	Atlanta, GA
Donald K. Runkle	Raymond James Financial Services, Inc.	St. Petersburg, FL
Raymond H. Smith, Jr.	Smith, Brown and Groover, Inc.	Macon, GA
Caroline (Carrie) Wisniewski	Bridge Capital Associates, Inc.	Norcross, GA

District 8

Timothy P. Byrnes	Morgan Stanley Smith Barney	Dublin, OH
Nicholas A. Filing	OneAmerica Securities, Inc.	Indianapolis, IN
Jeffrey F. Freiburger	Robert W. Baird & Co.	Milwaukee, WI
Jeffrey V. Gery	Lincoln Financial Advisors Corporation	Fort Wayne, IN
Phillip E. Gutman, Jr.	William Blair & Company L.L.C.	Chicago, IL
Edward A. Horwitz	Horwitz & Associates, Inc.	Riverwoods, IL
Anthony C. Larosa	JJB Hilliard, W.L. Lyons, LLC	Indianapolis, IN
James P. Miller	SII Investments, Inc.	Appleton, WI
Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL

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District 9

Michael J. Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Irene A. Feeley	Complete Investment Management, Inc.	Horsham, PA
Mark A. Gomez	NY Life Distributors LLC	Parsippany, NJ
Nancy L. Heffner	Lincoln Investment Planning, Inc.	Wyncote, PA
Michael K. Kauffelt, II	Bill Few Associates, Inc.	Pittsburgh, PA
Sarah McCafferty	T. Rowe Price Investment Services, Inc.	Baltimore, MD
Greg Plifka	RBC Capital Markets Corporation	Parsippany, NJ
Kenneth I. Schindler	Prudential Investment Management Services LLC	Newark, NJ
Craig A. Tillotson	Hefren-Tillotson Inc.	Wexford, PA

District 10

Gordon Charlop, Ph.D.	Rosenblatt Securities Inc.	New York, NY
Robert Hackel	R. F. Lafferty & Co., Inc.	New York, NY
Craig B. Jampol	Sterne, Agee & Leach, Inc.	New York, NY
Eric L. Kriftcher	Banc of America Securities LLC	New York, NY
George Mandl	Mitsubishi UFJ Securities (USA) Inc.	New York, NY
Robin A. Oliver	Raymond James Financial Services Inc.	New York, NY
Carl K. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Alfred Petrillo	Jefferies Execution Services, Inc.	New York, NY
Thomas J. Santucci	Royal Alliance Associates, Inc.	Garden City, NY
David V. Shields	Wellington Shields & Co., LLC	New York, NY
David M. Sobel	Abel/Noser Corp.	New York, NY
Richard A. Sorrentino	Collins Stewart LLC	New York, NY

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District 11

Norman L. Ashkenas	Fidelity Brokerage Services LLC	Boston, MA
Jonathan Goldstein	Tourmaline Partners, LLC	Stamford, CT
Vincent M. Manzi	State Street Global Markets, LLC	Boston, MA
Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
Dennis McCarron	Bay Colony Partners	Woburn, MA
Lawrence F. McIntosh	USI Securities, Inc.	Glastonbury, CT
Victoria L. Olson	Prudential Annuities Distributors	Shelton, CT
Stephen L. Schardin	Charles River Brokerage, LLC	Burlington, MA
John A. Vaccaro	MML Investors Services, Inc.	Springfield, MA