

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.

2012 Committee Rosters

District 1

Alan Carlisle	Hanson McClain	Sacramento, CA
Stephen H. Chipman	Foothill Securities, Inc.	Mountain View, CA
Bill Hatcher	Wells Fargo Advisors, LLC.	San Francisco, CA
Joseph F. Helmer	Caldwell Securities, Incorporated	Sausalito, CA
Douglas C. Heske	Stifel, Nicolaus & Company	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	Colorado Financial Service Corporation	Monterey, CA

District 2

S. Kendrick Dunn	Pacific Select Distributors, Inc.	Newport Beach, CA
Houston Goddard	Girard Securities, Inc.	San Diego, CA
Bardea C. Huppert	Farmers Financial Solutions	Agoura Hills, CA
Maureen M. Maloney	Lucia Securities, Inc.	Newport Beach, CA
Timothy U. Morton	WBB Securities, Inc.	San Diego, CA
Steven L. Thornton	Valtus Capital Group, LLC	Tarzana, CA
Kathleen VanNoy-Pineda	LPL Financial	San Diego, CA
Peter K. Vonk	CUSO Financial Services, L.P.	San Diego, CA

2012 Committee Rosters

District 3

Jodee Brubaker-Rager	Geneos Wealth Management, Inc.	Centennial, CO
Chester Hebert	Colorado Financial Service Corporation	Centennial, 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
Edward K. Riley	E.K. Riley Investments, LLC	Seattle, WA
Lance Wells	Metlife Securities, Inc.	Greenwood Village, CO

District 4

Dana Bjornson	George K. Baum & Company	Kansas City, MO
Allen Cole	Benjamin F. Edwards & Company, Inc.	St. Louis, MO
Chad Estep	Century Securities Associates, Inc.	St. Louis, MO
Terry Lister	Waddell & Reed, Inc.	Shawnee Mission, KS
Craig W. Markham	Walnut Street Securities	St. Louis, MO
Jennifer Relien	Woodbury Financial Services, Inc.	Woodbury, MN
Daniel Stepp	Central States Capital Markets, LLC	Kansas City, MO
Amy Webber	Cambridge Investment Research, Inc.	Fairfield, IA
William T. Yates	TD Ameritrade	Bellevue, NE

2012 Committee Rosters

District 5

James D. Alger	Delta Trust Investments, Inc.	Little Rock, AR
James F. Dixon, III	Sterne, Agee & Leach, Inc.	Birmingham, AL
Patrick Dogan	Sterne, Agee & Leach, Inc.	Birmingham, AL
Rush F. Harding, III	Crews & Associates, Inc.	Little Rock, AR
Carolyn May	Simmons First Investment Group, Inc.	Little Rock, AR
Martin F. Shea, Jr.	Vining Sparks	Memphis, 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
Jacob D. Palmer	SWBC Investment Services, LLC	San Antonio, TX
Christine Staib	LPL Financial / Staib Wealth	Plano, TX
David Stringer	Prospera Financial Services, Inc.	Dallas, TX
Kelly R. Welker	LPL Financial Corporation	San Antonio, TX

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District 7

Ruth A. Burgess	INVEST Financial Corporation	Tampa, FL
Leopoldo E. Guzman	Guzman & Company	Coral Gables, FL
Brian Kovack, Esq.	Kovack Securities, Inc.	Fort Lauderdale, FL
Ken Muraoka	Advisor Group / FSC Securities	Atlanta, GA
John T. Rhett, III	SunTrust Investment Services, Inc.	Atlanta, GA
Donald K. Runkle	Raymond James Financial Services, Inc.	St. Petersburg, FL
Jim Webb	Cape Securities, Inc.	McDonough, GA
Caroline (Carrie) Wisniewski	Bridge Capital Associates, Inc.	Norcross, GA

District 8

Gina Bokios	Regal Securities, Inc.	Glenview, IL
Timothy P. Byrnes	Morgan Stanley Smith Barney	Oak Brook, IL
Erwin Dugasz, Jr.	Nationwide Investment Services Corporation	Columbus, OH
Nicholas A. Filing	OneAmerica Securities, Inc.	Indianapolis, IN
Jeffrey V. Gery	Lincoln Financial Advisors Corporation	Fort Wayne, IN
Lynn Goebel	ValMark Securities, Inc.	Akron, OH
Phillip E. Gutman, Jr.	William Blair & Company L.L.C.	Chicago, IL
Anthony C. Larosa	JJB Hilliard, W.L. Lyons, LLC	Indianapolis, IN
Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL

2012 Committee Rosters

District 9

Victoria Bach-Fink	Wall Street Financial Group, Inc.	Fairport, NY
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
Josephine LaFauci	Gabelli & Company, Inc.	Rye, NY
Greg Plifka	RBC Capital Markets, LLC	Parsippany, NJ
Craig A. Tillotson	Hefren-Tillotson Inc.	Wexford, PA

District 10

Gordon Charlop, Ph.D.	Rosenblatt Securities Inc.	New York, NY
Rebecca Ebert	Sandler O'Neill + Partners, L.P.	New York, NY
Myles Edwards	Constellation Wealth Advisors, LLC	New York, NY
Robert Hackel	R. F. Lafferty & Co., Inc.	New York, NY
Craig B. Jampol	Sterne, Agee & Leach, Inc.	New York, NY
George Mandl	Mitsubishi UFJ Securities (USA) Inc.	New York, NY
Joseph Neary	Royal Alliance Associates, Inc.	New York, NY
Carl K. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Alfred Petrillo	Jefferies Execution Services, Inc.	New York, NY
Douglas Preston	Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York, 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
Stephen Buff	Columbia Management Investment Distributors, Inc.	Boston, MA
John (Jack) Fitzgerald	Leerink Swann LLC	Boston, MA
Jonathan Goldstein	Tourmaline Partners, LLC	Stamford, CT
Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
Dennis McCarron	Sussman Financial Services, LLC	Londonderry, NH
Lawrence F. McIntosh	USI Securities, Inc.	Glastonbury, CT
Paul Tolley	Commonwealth Financial Network	Waltham, MA
John A. Vaccaro	MML Investors Services, Inc.	Springfield, MA