

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.

2013 Committee Rosters

District 1

Alan Carlisle	SCF Securities	Fresno, CA
Stephen H. Chipman	Foothill Securities, Inc.	Mountain View, CA
Janet Epstein	Charles Schwab & Co., Inc.	San Francisco, CA
Bill Hatcher	Wells Fargo Advisors, LLC.	San Francisco, CA
Joseph F. Helmer	Caldwell Securities, Incorporated	Sausalito, CA
David G. McClurg	McClurg Capital Corporation	San Rafael, CA
Gil Mogavero	JMP Securities, LLC	San Francisco, CA
Stephen C. Rogers	RFS Partners	San Francisco, CA

District 2

Kristina Cole	WBB Securities, LLC	San Diego, CA
Monica Daggs	Cuso Financial Services, L.P.	San Diego, CA
Rick Dahl	Sorrento Pacific Financial LLC	San Diego, CA
Bardea C. Huppert	Farmers Financial Solutions	Agoura Hills, CA
Maureen M. Maloney	American National Stock Transfer	Irvine, CA
Kathleen VanNoy-Pineda	LPL Financial	San Diego, CA

2013 Committee Rosters

District 3

Jodee Brubaker-Rager	Geneos Wealth Management, Inc.	Centennial, CO
Chester Hebert	Colorado Financial Service Corporation	Centennial, CO
Robert B. Joki	ING Financial Partners, Inc.	Mountlake Terrace, WA
Richard Moran	Symetra Investment Services	Bellevue, WA
Gordon Price	Walton Securities, Inc.	Scottsdale, AZ
Edward K. Riley	E.K. Riley Investments, LLC	Seattle, WA
Mary Simonson	SagePoint Financial, Inc.	Phoenix, AZ
Lance Wells	Metlife Securities, Inc.	Greenwood Village, CO

District 4

Allen Cole	Benjamin F. Edwards & Company, Inc.	St. Louis, MO
Norm Conley	J.A. Glynn & Co.	St. Louis, MO
Chad Estep	Century Securities Associates, Inc.	St. Louis, MO
Tim Halevan	CUNA Brokerage Services, Inc.	Waverly, IA
Terry Lister	Waddell & Reed, Inc.	Shawnee Mission, KS
Craig W. Markham	Walnut Street Securities	St. Louis, MO
Daniel Stepp	Central States Capital Markets, LLC	Prairie Village, KS
William T. Yates	TD Ameritrade	Bellevue, NE

2013 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 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
Raymond A. Thompson	Dorsey & Company, Inc.	New Orleans, LA
Kathryn Wilson	The Baker Group LP	Oklahoma City, OK

District 6

Darla K. Bartkowiak	Amherst Securities Group, L.P.	Houston, TX
Susanne Denby	NFP Securities, Inc.	Austin, TX
John P. Dennis, III	Woodrock Securities, L.P.	Houston, TX
Robert A. Estrada	Estrada Hinojosa & Company, Inc.	Dallas, TX
David McNally	McNally Financial Services Corporation	San Antonio, 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

2013 Committee Rosters

District 7

Leopoldo E. Guzman	Guzman & Company	Coral Gables, FL
Brian Kovack, Esq.	Kovack Securities, Inc.	Fort Lauderdale, FL
Donald K. Runkle	Raymond James Financial Services, Inc.	St. Petersburg, FL
Virginia Voos	Bridge Capital Associates, Inc.	Lilburn, GA
Jim Webb	Cape Securities, Inc.	McDonough, GA

District 8

Aimee Blinder-Ullrich	National Planning Corporation	Appleton, WI
Gina Bokios	Regal Securities, Inc.	Glenview, 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
Jason Welch	WWK Investments, Inc.	Northville, MI

2013 Committee Rosters

District 9

Victoria Bach-Fink	Wall Street Financial Group, Inc.	Fairport, NY
Michael J. Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Allan Goldstein	S.J. Levinson & Sons, LLC	Purchase, NY
Nancy L. Heffner	Lincoln Investment Planning, Inc.	Wyncote, PA
Gary Johnson	Pershing, LLC	Jersey City, NJ
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
Arlene Klein	RBC Capital Markets, LLC	New York, NY
Robert Moore	Concept Capital Markets, LLC	Garden City, NY
Joseph Neary	Royal Alliance Associates, Inc.	New York, NY
Carl K. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Douglas Preston	Merrill Lynch, Pierce, Fenner & Smith, Inc.	New York, NY
George Ramirez	MFR Securities, Inc.	New York, NY
David V. Shields	Wellington Shields & Co., LLC	New York, NY
James Siegel	Royal Alliance Associates, Inc.	New York, NY
David M. Sobel	Abel/Noser Corp.	New York, NY
Richard A. Sorrentino	Canaccord Genuity Inc.	New York, NY
Andrew Weinberg	Deutsche Bank Securities	New York, NY

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District 11

Norman L. Ashkenas	Fidelity Brokerage Services LLC	Boston, MA
Dennis Beirne	People's Securities	Bridgeport, CT
Stephen Buff	Columbia Management Investment Distributors, Inc.	Boston, MA
John Fitzgerald	Leerink Swann LLC	Boston, MA
Jonathan Goldstein	Tourmaline Partners, LLC	Stamford, CT
Lawrence F. McIntosh	USI Securities, Inc.	Glastonbury, CT
Stephen Sussman	Pronet Financial Partners LLC	Londonderry, NH
Paul Tolley	Commonwealth Financial Network	Waltham, MA