

Election Notice

District and NAC Elections

FINRA Announces Election Results for District Committees, District Nominating Committees and the National Adjudicatory Council

Executive Summary

The purpose of this *Election Notice* is to announce the names of the newly elected District Committee, District Nominating Committee and National Adjudicatory Council (NAC) members.

For the district committees, each of the candidates nominated by the Regional Nominating Committees has been duly elected to terms beginning on June 1, 2009.¹ The newly elected District Committee members will serve three-year terms,² and the newly elected District Nominating Committee members will serve one-year terms. The names of the new district committee members and the specific terms to which they were elected are listed in Attachment A.

In the NAC election, two seats were filled: a Small Firm NAC Member seat and a Large Firm NAC Member seat. In December 2008, the Nominating and Governance Committee of FINRA's Board of Governors nominated candidates for both open positions. Notice of these nominations was provided to FINRA member firms and one candidate successfully petitioned to have his name added as a candidate for the Small Firm NAC Member seat.³

March 24, 2009

Suggested Routing

- Compliance
- Legal
- Operations
- Registration
- Senior Management

A contested election for the Small Firm NAC Member seat was held with ballots sent to all eligible firms listing the FINRA and petition candidates. Alan L. Davidson received the largest number of votes and his nomination will now be forwarded to the FINRA Board for appointment as the Small Firm NAC Member.

The Committee's nomination of Pamela K. Cavness as the FINRA nominee for the Large Firm NAC Member seat was not contested and the FINRA Board recently appointed Ms. Cavness to the NAC.

Questions concerning this *Notice* may be directed to Marcia E. Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949 or CorporateSecretary@finra.org.

Endnotes

- 1 No additional candidates came forward to contest the election of the Regional Nominating Committee nominees. Pursuant to Section 8.19 of FINRA Regulation's By-Laws, in an uncontested election the candidates nominated by the Regional Nominating Committees shall be considered elected.
- 2 Some District Committee members were elected to fill existing vacancies and therefore may serve less than a three-year term, as indicated on Attachment A.
- 3 See Section 6.2 of the FINRA Regulation By-Laws.

Attachment A: Newly Elected District Committee and District Nominating Committee Members

District 1

Northern California (the counties of Monterey, San Benito, Fresno and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye, and the remainder of the state north or west of such counties) and Hawaii

Christian A. Zrull, District Director

One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 217-1100
(415) 956-1931 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|---------------------|---------------------------------|-------------------|
| Nancy A. Mullally | Alamo Capital | Walnut Creek, CA |
| Robert J. Zamecki | Lighthouse Capital Corporation | Monterey, CA |
| Vincent M. Faughnan | Banc of America Securities, LLC | San Francisco, CA |

Alternate Candidate

| | | |
|------------------|-------------------------------------|-------------------|
| Douglas C. Heske | Nollenberger Capital Partners, Inc. | San Francisco, CA |
|------------------|-------------------------------------|-------------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|------------------------|-------------------------------------|-------------------|
| Christopher D. Charles | Wulff, Hansen & Co. | San Francisco, CA |
| Kevin T. Kitchin | Wachovia Securities, LLC | San Francisco, CA |
| Bruce W. Nollenberger | Nollenberger Capital Partners, Inc. | San Francisco, CA |
| Daniel W. Roberts | Roberts & Ryan Investments, Inc. | San Francisco, CA |
| Edward M. Stephens | FSC Securities Corporation | San Francisco, CA |

Alternate Candidate

| | | |
|---------------------|------------------------------|-------------------|
| Howard A. Bernstein | Pacific Growth Equities, LLC | San Francisco, CA |
|---------------------|------------------------------|-------------------|

District 2

Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye) and the former U.S. Trust Territories

David A. Greene, District Director

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071-3126 (213) 613-2634
(213) 613-1401 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|-----------------------|-----------------------------------|-------------------|
| S. Kendrick Dunn, Jr. | Pacific Select Distributors, Inc. | Newport Beach, CA |
| Peter K. Vonk | CUSO Financial Services, L.P. | San Diego, CA |
| Steven L. Thornton | Valtus Capital Group, LLC | Tarzana, CA |

District Committee Nominee for Term Expiring May 31, 2010

Mitchell W. Howard First Wilshire Securities Management, Inc. Pasadena, CA

Alternate Candidate

| | | |
|-------------------|----------------------------------|------------------|
| Bardea C. Huppert | Farmers Financial Solutions, LLC | Agoura Hills, CA |
|-------------------|----------------------------------|------------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|--------------------|----------------------------------|-------------------|
| Valorie A. Seyfert | CUSO Financial Services, L.P. | San Diego, CA |
| Kenneth R. Hyman | Partnervest Securities, Inc. | Santa Barbara, CA |
| Steven K. Klein | Farmers Financial Solutions, LLC | Agoura Hills, CA |
| Gary A. Martino | brokersXpress, LLC | Thousand Oaks, CA |
| M. LaRae Bakerink | WBB Securities, LLC | San Diego, CA |

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

Joseph M. McCarthy, Senior Vice President and Regional Director West Region

4600 S. Syracuse, Suite 1400, Denver, CO 80202 (303) 446-3100
(303) 620-9450 fax

Alaska, Idaho, Montana, Oregon and Washington

Michael E. Lewis, District Director

601 Union Street, Suite 1616, Seattle, WA 98101 (206) 624-0790
(206) 623-2518 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|------------------|---|---------------|
| Paul T. Amsbury | Morgan Stanley & Co. | Portland, OR |
| Kay A. Johnson | National Securities Corporation | Seattle, WA |
| Bruce J. Maranda | Canaccord Capital Corporation USA, Inc. | Vancouver, BC |

District Committee Nominee for Term Expiring May 31, 2010

| | | |
|-------------------|----------------------------|-----------------|
| Steven S. Iversen | NEXT Financial Group, Inc. | Albuquerque, NM |
|-------------------|----------------------------|-----------------|

Alternate Candidate

| | | |
|-------------------|--|------------|
| Patrick H. McEvoy | Multi-Financial Securities Corporation | Denver, CO |
|-------------------|--|------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|------------------------|---|----------------|
| Louis H. (Hoyt) DeMers | Wells Fargo Investments, LLC | Seattle, WA |
| Russell R. Diachok | Geneos Wealth Management, Inc. | Centennial, CO |
| David J. Director | McAdams Wright Ragen, Inc. | Seattle, WA |
| Craig A. Jackson | Financial Network Investment Corp. | Roseburg, OR |
| Harry L. Striplin | Strand, Atkinson, Williams & York, Inc. | Portland, OR |

District 4

Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota

Thomas D. Clough, Associate Vice President and District Director

120 W. 12th Street, Suite 800, Kansas City, MO 64105

(816) 421-5700

(816) 421-5029 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|-----------------|-------------------------------------|-----------------|
| Jennifer Relien | Thrivent Investment Management | Minneapolis, MN |
| Dana Bjornson | George K. Baum & Company | Kansas City, MO |
| Amy Webber | Cambridge Investment Research, Inc. | Fairfield, IA |

Alternate Candidate

| | | |
|---------------|--------------------------|---------------|
| Craig Markham | Walnut Street Securities | St. Louis, MO |
|---------------|--------------------------|---------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|----------------------|---------------------------------------|-----------------|
| Andrew Small | Scottrade, Inc. | St. Louis, MO |
| Patricia Bartholomew | Craig-Hallum Capital Group, LLC | Minneapolis, MN |
| Pamela Ziermann | Dougherty & Company, LLC | Minneapolis, MN |
| Allen Moore | Smith Hayes Financial Services, Corp. | Lincoln, NE |
| Minoo Spellerberg | Princor Financial Services | Des Moines, IA |

District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850
New Orleans, LA 70163

(504) 522-6527
(504) 522-4077 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|-----------------------|-----------------------------|-----------------|
| LeRoy "Lee" Paris, II | InvestLinc Securities, LLC | Jackson, MS |
| Mark Sheridan | Johnson Rice & Company, LLC | New Orleans, LA |
| James F. Dixon, III | Sterne, Agee & Leach, Inc. | Birmingham, AL |

Alternate Candidate

| | | |
|------------------------|-----------------------------|-------------|
| William E. Hopkins, II | Silver Oak Securities, Inc. | Jackson, TN |
|------------------------|-----------------------------|-------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|---------------------|-------------------------------|-------------------|
| J. French Hill | Delta Trust Investments, Inc. | Little Rock, AR |
| Michaela Myers | NAFA Capital Markets | Oklahoma City, OK |
| Jefferson G. Parker | Howard Weil, Inc. | New Orleans, LA |
| Jennifer C. Scola | Carty & Company, Inc. | Memphis, TN |
| F. Eugene Woodham | Sterne, Agee & Leach, Inc. | Birmingham, AL |

Alternate Candidate

| | | |
|----------------|--------------------------|-----------------|
| James S. Jones | Crews & Associates, Inc. | Little Rock, AR |
|----------------|--------------------------|-----------------|

District 6

Texas

Virginia F.M. Jans, Senior Vice President and Regional Director South Region

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243

(972) 701-8554

(972) 716-7646 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|--------------------------|--|-----------------|
| Adan D. Araujo | First Command Financial Planning, Inc. | Fort Worth, TX |
| William W. Cathriner, II | BBVA Investments, Inc. | Houston, TX |
| Kelly R. Welker | LPL Financial Corporation | San Antonio, TX |

Alternate Candidate

| | | |
|------------------------|--------------------------------|-------------|
| Rebecca Starling-Platt | Invesco AIM Distributors, Inc. | Houston, TX |
|------------------------|--------------------------------|-------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|-------------------------|-----------------------------|-------------|
| Bryan T. Emerson | Starlight Investments, LLC | Houston, TX |
| Sennett Kirk, III | Kirk Securities Corporation | Denton, TX |
| John Christopher Melton | Coastal Securities, Inc. | Houston, TX |
| William H. Lowell | Lowell & Company, Inc. | Lubbock, TX |
| Alan K. Goldfarb | Weaver Tidwell Capital LLC | Dallas, TX |

Alternate Candidate

| | | |
|-------------------|--------------------------|------------|
| Michael A. Pagano | 1st Global Capital Corp. | Dallas, TX |
|-------------------|--------------------------|------------|

District 7

Georgia, North Carolina and South Carolina

Daniel J. Stefek, Associate Vice President and District Director

One Securities Centre, Suite 500, 3490 Piedmont Road, NE (404) 239-6100
 Atlanta, GA 30305 (404) 237-9290 fax

Florida, Puerto Rico, the Canal Zone and the Virgin Islands

Mitchell C. Atkins, Vice President and District Director

Crystal Corporate Center, 2500 N. Military Trail, Suite 302 (561) 443-8000
 Boca Raton, FL 33434 (561) 443-7995 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|------------------------------|--|--------------------|
| Ruth A. Burgess | INVEST Financial Corporation | Tampa, FL |
| Donald K. Runkle | Raymond James Financial Services, Inc. | St. Petersburg, FL |
| Caroline (Carrie) Wisniewski | Bridge Capital Associates, Inc. | Norcross, GA |

District Committee Nominee for Term Expiring May 31, 2010

| | | |
|--------------------|------------------------------------|-------------|
| John T. Rhett, III | SunTrust Investment Services, Inc. | Atlanta, GA |
|--------------------|------------------------------------|-------------|

Alternate Candidate

| | | |
|-----------------|------------------------------|-------------|
| Kenneth S. Bell | ING Financial Partners, Inc. | Atlanta, GA |
|-----------------|------------------------------|-------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|------------------------|--|---------------|
| Susan J. Hechtlinger | SunTrust Investment Services, Inc. | Atlanta, GA |
| William G. McMaster | Scott & Stringfellow, Inc. | Columbia, SC |
| Charles F. O'Kelley | Atlantic Coast Securities Corporation | Tampa, FL |
| Roark (Rocky) A. Young | Young, Stovall and Company | Miami, FL |
| Landrum H. Henderson | Banc of America Investments Services, Inc. | Charlotte, NC |

District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

Carla A. Romano, Senior Vice President and Regional Director Midwest Region

55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052 (312) 899-4400
(312) 899-4399 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|--------------------|-----------------------------------|------------------|
| Timothy P. Byrnes | Morgan Stanley & Co. Incorporated | Barrington, IL |
| Anthony C. LaRosa | JJB Hilliard, WL Lyons, LLC | Indianapolis, IN |
| Joseph R.V. Romano | Romano Brothers & Co. | Evanston, IL |

Alternate Candidate

| | | |
|-----------------|---------------------|-----------|
| Jeffrey V. Gery | NRP Financial, Inc. | Bryan, OH |
|-----------------|---------------------|-----------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|---------------------|----------------------------------|----------------|
| Richard M. Arceci | ValMark Securities, Inc. | Akron, OH |
| Stephen F. Anderson | Waterstone Financial Group, Inc. | Itasca, IL |
| Eric A. Bederman | Bernardi Securities, Inc. | Chicago, IL |
| Thomas M. McDonald | Thomas McDonald Partners, LLC | Cleveland, OH |
| Barbara A. Turner | The O.N. Equity Sales Co. | Cincinnati, OH |

District 9

New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City)

Gary K. Liebowitz, Senior Vice President and Regional Director North Region

581 Main Street, 7th Floor, Woodbridge, NJ 07095 (732) 596-2025
(732) 596-2001 fax

Delaware, the District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia

Robert B. Kaplan, Vice President and District Director

1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-1992
(215) 963-7442 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|-------------------------|--------------------------------|----------------|
| Irene A. Feeley | Capital Analysts, Incorporated | Horsham, PA |
| Mark Gomez | NYLife Distributors, LLC | Parsippany, NJ |
| Michael K. Kauffelt, II | Bill Few Associates, Inc. | Pittsburgh, PA |

District Committee Nominee for Term Expiring May 31, 2011

| | | |
|----------------------|--|------------|
| Kenneth I. Schindler | Prudential Investment Management Services, LLC | Newark, NJ |
|----------------------|--|------------|

Alternate Candidate

| | | |
|--------------------|----------------------------|------------------|
| David S. Berkowitz | Lincoln Financial Advisors | Philadelphia, PA |
|--------------------|----------------------------|------------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|-------------------|------------------------------------|------------------|
| Michael T. Corrao | Knight Equity Markets, LP | Jersey City, NJ |
| John M. Ivan | Janney Montgomery Scott, LLC | Philadelphia, PA |
| W. Dean Karrash | Burke, Lawton, Brewer & Burke, LLC | Ambler, PA |
| John P. Meegan | Hefren-Tillotson, Inc. | Pittsburgh, PA |
| Thomas T. Wallace | Johnston, Lemon & Co., Inc. | Washington, DC |

District 10

New York (the counties of Nassau and Suffolk, and the five boroughs of New York City)

Hans L. Reich, Senior Vice President and Regional Director New York Region

One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006 (212) 858-4180
(212) 858-4078 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|------------------|----------------------------|--------------|
| Craig B. Jampol | Sterne, Agee & Leach, Inc. | New York, NY |
| David V. Shields | Shields & Company | New York, NY |
| VACANT* | | |
| VACANT* | | |

District Committee Nominee for Term Expiring May 31, 2011

| | | |
|-----------------|--|--------------|
| Robin A. Oliver | Raymond James Financial Services, Inc. | New York, NY |
|-----------------|--|--------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|-------------------------|--|--------------|
| Clifford H. Goldman | Marco Polo Securities, Inc. | New York, NY |
| Raymond C. Holland, Sr. | Triad Securities Corp. | New York, NY |
| Allen Meyer | Credit Suisse First Boston LLC | New York, NY |
| Howard Spindel | Integrated Management Solutions | New York, NY |
| Tom M. Wirtshafter | American Portfolios Financial Services, Inc. | Holbrook, NY |

Alternate Candidate

| | | |
|---------------------|------------------------|--------------|
| Jennifer A. Connors | E*Trade Securities LLC | New York, NY |
|---------------------|------------------------|--------------|

* The two vacancies noted above resulted from one nominee withdrawing his name from consideration and another nominee being ineligible for the seat.

District 11

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont

Elizabeth F. Page, District Director

99 High Street, Suite 900, Boston, MA 02110

(617) 532-3401

(617) 451-3524 fax

District Committee Members Elected to Terms Expiring May 31, 2012

| | | |
|----------------------|-------------------------------------|-----------------|
| Michael J. Mahoney | John Hancock Funds, LLC | Boston, MA |
| John A. Vaccaro | MML Investors Services, Inc. | Springfield, MA |
| Edward J. Wiles, Jr. | Genworth Financial Securities Corp. | Stamford, CT |

Alternate Candidate

| | | |
|-------------------|---------------------------|---------------|
| James D. McCarron | U.S. Wealth Advisors, LLC | Braintree, MA |
|-------------------|---------------------------|---------------|

District Nominating Committee Members Elected to Terms Expiring May 31, 2010

| | | |
|------------------------|---------------------------------------|---------------------|
| Martin W. Courage | J.P. Morgan Securities, Inc. | Boston, MA |
| John I. Fitzgerald | Leerink Swann, LLC | Boston, MA |
| Joseph J. Gritzer, Jr. | USI Securities, Inc. | Glastonbury, CT |
| Moira C. Lowe | Sun Life Financial Distributors, Inc. | Wellesley Hills, MA |
| Robert J. Reilly | Barclays Capital, Inc. | Boston, MA |