

Election Notice

District Elections

FINRA Announces Election Results for District Committees, District Nominating Committees

Executive Summary

This *Election Notice* announces the newly elected District Committee and District Nominating Committee members. Each of the candidates nominated by the District Nominating Committees has been duly elected to terms beginning on June 1, 2010.¹ The newly elected District Committee members will serve three-year terms and the newly elected District Nominating Committee members will serve one-year terms.²

The names of the new district committee members and the specific terms to which they were elected are listed in Attachment A.

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 District Nominating Committee nominees. Pursuant to Section 8.19 of FINRA Regulation's By-Laws, in an uncontested election the candidates nominated by the District 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.

March 29, 2010

Suggested Routing

- Compliance
- Legal
- Operations
- Registration
- Senior Management

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, 2013

Joseph F. Helmer	Caldwell Securities, Incorporated	Sausalito, CA
Stephen C. Rogers	RFS Partners	San Francisco, CA
David G. McClurg	McClurg Capital Corporation	San Rafael, CA

District Committee Members Elected to Terms Expiring May 31, 2012

Douglas C. Heske	Nollenberger Capital Partners, Inc.	San Francisco, CA
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District Committee Members Elected to Terms Expiring May 31, 2011

Susan Katherine Campbell	Protected Investors of America	Oakland, CA
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Alternate District Committee Member

Peter A. Sigal	Charles Schwab & Co., Inc.	San Francisco, CA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2011

James H. Williams	Financial Telesis	San Rafael, CA
Leonard Berry	Backstrom McCarley Berry & Co., LLC	San Francisco, CA
Robert Angle	White Pacific Securities, Inc.	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	Santa Rosa, CA
Francis X. Roche, II	RBC Capital Markets Corp.	San Francisco, CA

Alternate District Nominating Committee Member

Kevin T. Kitchin	Wells Fargo Advisors, LLC	San Francisco, CA
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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) 613-2601 fax

District Committee Members Elected to Terms Expiring May 31, 2013

Bardea C. Huppert	Farmers Financial Solutions, LLC	Agoura Hills, CA
Timothy U. Morton	WBB Securities, LLC	San Diego, CA
Maureen M. Maloney	Grubb & Ellis Securities, Inc.	Santa Ana, CA

Alternate District Committee Member

Cynthia M. Aragon	FAT Securities, LLC	West Hollywood, CA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2011

M. LaRae Bakerink	WBB Securities, LLC	San Diego, CA
Steven K. Klein	Farmers Financial Solutions, LLC	Agoura Hills, CA
Craig Watanabe	Penniall & Associates, Inc.	Pasadena, CA
Ismael Manzanares, Jr.	Higgins Capital Management, Inc.	San Diego, CA
Kevin K. Hull	Grubb & Ellis Securities, Inc.	Santa Ana, CA

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

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

4600 S. Syracuse Street, Suite 1400, Denver, CO 80237 (303) 446-3100
(303) 620-9450 fax

Alaska, Idaho, Montana, Oregon and Washington

Gerald J. Dougherty, Deputy Director

601 Union Street, Suite 1616, Seattle, WA 98101-2327 (206) 624-0790
(206) 623-2518 fax

District Committee Member Elected to Terms Expiring May 31, 2013

Robert B.Joki	ING Financial Partners, Inc.	Mountlake Terrace, WA
Alfred P. Reeves, III	Affiliated Funding & Europa Securities	Denver, CO
Edward K. Riley	E.K. Riley Investments, LLC	Seattle, WA

Alternate District Committee Member

Daniel E. Wright	Jackson National Life	Denver, CO
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District Nominating Committee Member Elected to for Terms Expiring May 31, 2011

Russell R. Diachok	Geneos Wealth Management, Inc.	Centennial, CO
David J. Director	McAdams Wright Ragen, Inc.	Seattle, WA
Chester J. Hebert	Colorado Financial Service Corp.	Centennial, CO
Steven S. Iversen	Foothill Securities, Inc.	Albuquerque, NM
Douglas W. Schriener	Harrison Douglas, Inc.	Aurora, CO

Alternate District Nominating Committee Member

Jodee Brubaker-Rager	Geneos Wealth Management, Inc.	Centennial, CO
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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 Member Elected to Terms Expiring May 31, 2013

William Yates	TD Ameritrade Clearing, Inc.	Bellevue, NE
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Craig Markham	Walnut Street Securities, Inc.	St. Louis, MO
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Allen Cole	Benjamin F. Edwards & Company, Inc.	Clayton, MO
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Alternate District Committee Member

Michael Lenzmeier	Agency Trading Group, Inc.	Wayzata, MN
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Richard Link	Edward Jones	St. Louis, MO
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Robert E. Hillard	Arlington Securities, Inc.	St. Louis, MO
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Timothy Lyle	Broker-Dealer Financial Services Corp.	Johnston, IA
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Andrew Small	Scottrade, Inc.	St. Louis, MO
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Patricia Bartholomew	Craig-Hallum Capital Group LLC	Minneapolis, MN
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District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850
New Orleans, LA 70163-0802

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

District Committee Member Elected to Terms Expiring May 31, 2013

James D. Alger	Delta Trust Investments, Inc.	Little Rock, AR
Martin F. Shea, Jr.	Vining Sparks	Memphis, TN
Raymond A. Thompson	Dorsey & Company, Inc.	New Orleans, LA

Alternate District Committee Member

J. David Coker	Coker & Palmer	Jackson, MS
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

J. French Hill	Delta Trust Investments, Inc.	Little Rock, AR
Philip J. Dorsey	Dorsey & Company, Inc.	New Orleans, LA
James T. Ritt	Morgan Keegan & Co., Inc.	Memphis, TN
Tom R. Steele	Equitable Advisors, Inc.	Nashville, TN
Gary K. Wunderlich, Jr.	Wunderlich Securities, Inc.	Memphis, TN

Alternate District Nominating Committee Member

Robert Keenan	St. Bernard Financial Services, Inc.	Russellville, AR
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District 6

Texas

Erin C. Vocke, District Director

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243 (972) 701-8554
 (972) 716-7646 fax

District Committee Member Elected to Terms Expiring May 31, 2013

John P. Dennis, III	Woodrock Securities, L.P.	Houston, TX
Robert A. Estrada	Estrada Hinojosa & Company, Inc.	Dallas, TX
Jacob D. Palmer	SWBC Investment Services, LLC	San Antonio, TX

District Committee Member Elected to Terms Expiring May 31, 2012

Daniel C. Dooley	Maplewood Investment Advisors, Inc.	Dallas, TX
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Alternate District Committee Member

Terry R. Pender	Raymond James Financial Services, Inc.	Plano, TX
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
Kennard (Ken) R. George	VSR Financial Services, Inc.	Dripping Springs, TX
Alan K. Goldfarb	Weaver Tidwell Capital, LLC.	Dallas, TX
Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
Fenner R. Weller, Jr.	Weller Anderson & Company, Ltd	Houston, TX

Alternate District Nominating Committee Member

Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
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District 7

Georgia, North Carolina and South Carolina

Daniel J. Stefek, Associate Vice President and District Director

One Securities Centre (404) 239-6100
Suite 500, 3490 Piedmont Road, NE, 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 (561) 443-8000
2500 N. Military Trail, Suite 302, Boca Raton, FL 33431 (561) 443-7995 fax

District Committee Member Elected to Terms Expiring May 31, 2013

Leopold 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

Alternate District Committee Member

Michael S. Hill	Summit Brokerage Services	Boca Raton, FL
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Jed E. Bades	Mutual Trust Co. of America Securities	Clearwater, FL
Susan J. Hechtlinger	SunTrust Investment Services, Inc.	Atlanta, GA
Landrum H. Henderson	Robert W. Baird & Co., Inc.	Charlotte, NC
Alan L. Maxwell	Wells Fargo Securities, LLC	Charlotte, NC
James A. Klotz	FMSBonds, Inc.	Boca Raton, FL

District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

Carlotta 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 Member Elected to Terms Expiring May 31, 2013

Jeffrey V. Gery	Lincoln Financial Advisors Corporation	Fort Wayne, IN
Phillip E. Gutman, Jr.	William Blair & Company, LLC	Chicago, IL
Nicholas A. Filing	OneAmerica Securities, Inc.	Indianapolis, IN

Alternate District Committee Member

Debra DeVoe	SunGard Institutional Brokerage, Inc.	Lombard, IL
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Joel Blumenschein	Freedom Investors Corp.	Brookfield, WI
Earl Clifford Oberlin, III	NRP Financial, Inc.	Bryan, OH
James M. Rogers	JJB Hilliard, WL Lyons LLC	Louisville, KY
Barbara A. Turner	The O.N. Equity Sales Company	Cincinnati, OH
Julie E. Vander Weele	Mesirow Financial, Inc.	Chicago, IL

Alternate District Nominating Committee Member

Carol Foley	Podesta & Company	Chicago, IL
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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 Member Elected to Terms Expiring May 31, 2013

Michael Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Greg Plifka	RBC Capital Markets Corporation	Parsippany, NJ
Craig Tillotson	Hefren-Tillotson, Inc	Wexford, PA

Alternate District Committee Member

Andrew Shainberg	Pruco Securities, LLC	Newark, NJ
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Wayne Holly	Sage, Ruddy & Co.	Rochester, NY
John Ivan	Janney Montgomery Scott, LLC	Philadelphia, PA
Michael Row	Pershing, LLC	Jersey City, NJ
Richard Seelaus	R. Seelaus & Co., Inc.	Summit, NJ
Thomas Wallace	Johnston, Lemon & Co., Incorporated	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) 858-4000
(212) 858-4078 fax

District Committee Member Elected to Terms Expiring May 31, 2013

Gordon Charlop	Rosenblatt Securities, Inc.	New York, NY
Carl K. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Alfred Petrillo	Jefferies Execution Services, Inc.	New York, NY
Richard A. Sorrentino	Collins Stewart LLC	New York, NY

District Committee Member Elected to Terms Expiring May 31, 2012

Robert Hackel	R.F. Lafferty & Co., Inc.	New York, NY
George Mandl	Mitsubishi UFJ Securities (USA) Inc.	New York, NY

Alternate District Committee Member

Andrew Collier	BOC International (USA) Inc.	New York, NY
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

James A. Brodie	Dinosaur Securities, LLC	New York, NY
Kathryn G. Casparian	CIBC World Markets Corp.	New York, NY
Paul S. Ehrenstein	Zenith American Securities Corp.	New York, NY
James D. Lamke	Sanford C. Bernstein & Co. Inc.	New York, NY
Tom M. Wirtshafter	American Portfolios Financial Services, Inc.	New York, NY

Alternate District Nominating Committee Member

Raymond C. Holland, Sr.	Triad Securities Corp.	New York, NY
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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 Member Elected to Terms Expiring May 31, 2013

Norman L. Ashkenas	Fidelity Brokerage Services	Marlborough, MA
Jonathan Goldstein	Greenwich Prime Trading Group, LLC	Stamford, CT
Lawrence F. McIntosh	USI Securities, Inc.	Glastonbury, CT

Alternate District Committee Member

John S. McPhee	Leerink Swann LLC	Boston, MA
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District Nominating Committee Member Elected to Terms Expiring May 31, 2011

Michael Callaghan	Harvest Capital LLC	Wethersfield, CT
David J. Freniere	LPL Financial Corporation	Boston, MA
Moira C. Lowe	Phoenix Equity Planning Corp.	Hartford, CT
Tina Blakeley Maloney	Winslow, Evans & Crocker, Inc.	Boston, MA
Robert J. Reilly	UBS Securities, LLC	Boston, MA

Alternate District Nominating Committee Member

Martin W. Courage	Barclays Capital Inc.	Boston, MA
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