Election Notice

December 6, 2012

Suggested Routing

- Executive Representative
- Senior Management

FINRA Announces Results of SFAB, NAC and District Committee Elections

Executive Summary

FINRA recently concluded elections to fill vacant seats on the Small Firm Advisory Board (SFAB), National Adjudicatory Council (NAC) and district committees. This *Notice* lists the individuals elected to fill vacant seats on the SFAB, and those elected and appointed to the NAC and District Committees for terms beginning January 1, 2013.

Questions concerning this *Election Notice* may be directed to

- Marcia Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949; or
- Chip Jones, Senior Vice President, Member Relations, at (240) 386-4797.

Small Firm Advisory Board Election Results

FINRA small firms in the North and West Regions elected the following individuals to fill open seats on the SFAB:

North Region	
John I. (Jack) Fitzgerald	Leerink Swann LLC
West Region	
Timothy U. Morton	WBB Securities, LLC

The FINRA Board also appointed the following individuals as At-Large SFAB Members:

Joseph R.V. Romano	Romano Brothers & Co.
Hardeep Walia	Motif Investing

These elected and appointed individuals will serve a three-year term beginning January 1, 2013.

Financial Industry Regulatory Authority

National Adjudicatory Council

The following individual was elected and appointed to fill the Small Firm seat on the NAC for a term beginning January 1, 2013.

Paige W. Pierce	RW Smith & Associates, Inc.

Additionally, the Board appointed the following individuals as Non-Industry NAC Members to three year terms beginning on January 1, 2013.

Chris Brummer–Professor	Georgetown University Law Center
Onnig Dombalagian–Professor	Tulane University School of Law
Cynthia Lewin–General Counsel	AARP

District Committees

The following individuals were elected or appointed to serve on FINRA District committees and will serve three-year terms (unless noted below) beginning January 1, 2013.

District 1

Small Firm Representative:	Egidio Mogavero, JMP Securities LLC
Large Firm Representative:	Janet Epstein, Charles Schwab & Co.

District 2:

Small Firm Representative:	Kristina Cole, WBB Securities, LLC
Small Firm Representative: (Vacancy)	Richard Dahl, Sorrento Pacific Financial, LLC (Two years)
Large Firm Representative:	Monica Daggs, CUSO Financial Services, LP

District 3:

Small Firm Representative:	Gordon A. Price, Walton Securities, Inc.
Large Firm Representative:	Mary K. Simonson, SagePoint Financial, Inc.
Vacancy:	Richard Moran, Symetra Investment Services (One year)

District 4:

Small Firm Representative:	Norman Conley, J.A. Glynn & Co.
Large Firm Representative:	Timothy Halevan, CUNA Brokerage Services, Inc.

District 5:

Small Firm Representative:	Kathryn P. Wilson, The Baker Group LP
Large Firm Representative:	James F. Dixon III, Sterne, Agee, & Leach Inc.

District 6:

Small Firm Representative:	David D. McNally, McNally Financial Services Corporation
Large Firm Representative:	Susanne Denby, NFP Securities, Inc.

District 7:

Small Firm Representative:	Virginia Voos, Bridge Capital Associates, Inc.
Large Firm Representative:	Donald Runkle, Raymond James Financial Services, Inc.

District 8:

Small Firm Representative:	Jason M. Welch, WWK Investments, Inc.
Large Firm Representative:	Aimee Blinder-Ullrich, National Planning Corporation

District 9:

Small Firm Representative:	Allan Goldstein, SJ Levinson & Sons LLC
Large Firm Representative:	Gary Johnson, Pershing LLC

District 10:

Small Firm Representative:	George Ramirez, MFR Securities, Inc.
Small Firm Representative:	David V. Shields, Wellington Shields & Co. LLC
Mid-Size Firm Representative:	Robert Moore, Concept Capital Markets LLC
Large Firm Representative:	Arlene Klein, RBC Capital Markets, LLC
Large Firm Representative:	James Siegel, Royal Alliance Associates, Inc.
Vacancy:	Andrew Weinberg, Deutsche Bank (One year)

District 11

Small Firm Representative:	Stephen Sussman, Sussman Financial Services, LLC
Large Firm Representative:	Dennis Beirne, Peoples Securities