

Candidate Profile Form—District Committee Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile Form—District Committee Election

Candidate Name: Joanne M. Salisbury

Title: Chief Compliance Officer

Firm: E.K. Riley Investm~~ent~~

Candidate Biography and Personal Statement

Personal Statement:

Having worked with the investment community for over 30 years, I feel that it's important for me to be actively involved with FINRA. I am passionate about the work we do, acting as stewards of the trust that the investing public places in the firms we lead, and I see my work with FINRA as an opportunity to support that same passion in others. I also feel that my range of experience and perspective allows me to bring a knowledgeable, broad and thoughtful point of view to the FINRA District Committee.

Bio:

Joanne is a progressive and proven leader who in the past 30 years has held executive positions as President, Chief Compliance Officer, Chief Financial Officer and Chief Operating Officer at a variety firms including full-service, online, self-clearing, fully-disclosed and insurance-affiliated BDs and RIAs.

She believes that organizational strategies must be effective and adaptable and that they must be applied with a common sense that allows representatives, advisors and staff to do their jobs. Joanne enjoys driving business value and achieving results while promoting efficiency, developing and delivering education and, designing surveillance and support programs that really work.

Securities registrations and designations:

7, 63, 24, 27, 65, 53, 55, 4, 99

FLMI, Fellow, Life Management Institute

AIRC, Associate, Insurance Regulatory Compliance

Joanne Salisbury has also been a member of the Financial Services Institute, the Wood's Creek Executive Peer Group and NACHA. She was past-president of the Northwest Securities Management Association, sat on Broker/Dealer Committee for LIMRA/LOMA and currently participates in Seattle's RIA CCO Round Table.

She frequently enjoys speaking on compliance matters at a variety of venues, is listed in both the Cambridge and Strathmore's Who's Who of Business Professionals and is active with Treehouse For Kids, ArtsFund and Hopelink.

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Link to YouTube video: