

Candidate Profile — District Committee Election

Candidate Name: Christopher L.M. Davis

Title: Market Manager

Firm: Wells Fargo Advisors

Candidate Biography and Personal Statement

I feel that my qualifications over a 23 year span will help guide our industry through the next few years and beyond. I began at Paine Webber in 1987 as an analyst working with senior management on strategic initiatives. In 1992, I began my career as a Financial Advisor working with a large team. After 5 years, I moved to the Santa Barbara branch as a Producing Manager and oversaw 15 FAs and 6 support personnel. In 2000, I became the manager of the Great Neck Branch for Prudential Securities where I oversaw 30 financial advisors and 12 support staff. Currently, I serve as the Market Manager for the Long Island Market and am responsible for the supervision, growth and administration of 220 financial advisors and 100 support personnel.

Statement

Our industry is facing some of its most unique challenges and hurdles, yet if properly addressed, I believe we can make a significant impact. A conscious awareness of understanding the issues facing the securities industry, we need to make sure that we focus on the investor, and assist firms, both big and small to secure a successful and responsible industry.

I have had the opportunity to have the experience of macro-planning with senior leadership of a large firm while carefully balancing the delivery to the Financial Advisor and his/her clientele. I have managed financial professionals through major changes. I understand that a broad look at any change with positive communication will allow us to find the proper solution (s) possible. We need to be able to rely on what we know, yet be open to new trends and solutions. Our industry is ever changing and should we not consider all known possibilities, we may miss the proper path.

Respectful and open dialogue amongst the committee chairs should allow us to develop solutions regardless of the interest of their firm. Understanding that making a significant and positive impact, I am committed to the responsibilities of the position, and understand that in some instances conflicts may arise. Confidentiality should bring trust to the committee where open dialogue can and will allow us to achieve the strongest results in a collaborative environment.

I have navigated through many changes. My skill is that I understand how to assist people to come together regardless of position and collaborate together.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Bennett Charles Firestein

Title: Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

Ben Firestein is the Managing Director of the Midtown Manhattan Complex for Morgan Stanley. The Complex is comprised of 3 offices with 261 Financial Advisors and approximately \$34 billion in assets under management. Ben has served on 3 internal committees and councils for Morgan Stanley. Please find below for your review a list of other positions held by Ben during his tenure in the financial services industry.

Personal Statement

My primary focus is to drive revenue by helping our Financial Advisors grow in a positive and professional atmosphere. We strive to ensure that all Financial Advisors in the Complex have a thorough understanding of the firm's products and services and are able to use this knowledge to develop personalized, goal-based wealth plans for their clients. We have created a management team that works as advocates and partners with Financial Advisors across the Midtown Manhattan Complex. We are committed to helping every Financial Advisor in the complex realize their potential and succeed.

With over 20 years of experience at Morgan Stanley, I have held the positions of Financial Advisor, Head of the Management Training Associate Program, Branch Manager in Boston and New York markets, and have overseen the Midtown Manhattan Complex as Complex Manager since 2004. I represent Branch Management leadership as Head of the Branch Manager Council for Morgan Stanley Wealth Management, as well as the Morgan Stanley Recruiting Council for almost a decade.

I was recognized publicly in 2009 named among On Wall Street magazine's Top 10 Managers, and again in 2010 among the Top 100 Managers. I live in Larchmont with my wife and three children. I am actively involved with the Larchmont Public Library, Larchmont Historical Society, and serve on committees at the Bonnie Briar Country Club.

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Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Maurya C. Keating

Title: Vice President, Chief Broker-Dealer Counsel & Investment Firm: AXA Advisors, LLC

Candidate Biography and Personal Statement

I am running for the District Committee because I believe I will be able to make a positive and constructive contribution to the work of the committee, based on my experience in the industry and my deep involvement with the emerging regulatory issues confronting us.

My current position is Lead Director and Associate General Counsel in the National Compliance Office of the Law Department of AXA Equitable, where I have been employed since June 2005. My work for AXA Equitable has included advising on a wide range of securities, insurance and investment advisory compliance, product and distribution issues. AXA Equitable is part of AXA Group, a global financial services organization, and so my work also involves international legal and compliance issues.

I serve as Vice President, Chief Broker-Dealer Counsel & Investment Advisor Chief Compliance Officer of AXA Advisors, LLC, a full-service broker-dealer and investment adviser. In this capacity, I have been working with industry groups and regulators to achieve meaningful regulatory reform in connection with the Dodd-Frank Act, ERISA, and other legislative and regulatory initiatives.

Prior to joining AXA Equitable, I held the position of Associate General Counsel at New York Life Insurance Company, advising the company on retail distribution matters involving insurance, securities and investment advisory issues for its wholly-owned subsidiaries, NYLIFE Securities (broker-dealer) and Eagle Strategies (registered investment advisor). I also advised on global compliance matters involving New York Life International, its wholly-owned international insurance subsidiary. I was previously employed as Associate General Counsel of Royal Alliance Associates, Inc. (now part of the AIG Advisor Group), which included responsibility for litigation management as well as regulatory work, and as an associate in two law firms in New York City.

I received Bachelor of Arts and Master of Arts degrees in Politics from The Catholic University of America, and a Juris Doctorate from St. John's University School of Law. I am admitted to practice as an attorney at law in New York state and federal district courts and the 11th Circuit Court of Appeals.

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Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Justin I. Sacca

Title: Chief Compliance Officer, Broker-Dealer

Firm: Royal Alliance Associates, Inc.

Candidate Biography and Personal Statement

Dear Sir/Madam:

I am seeking a seat as a large firm representative on the Committee for District 10. I have been involved in the securities industry for more than 25 years.

I began my career as an associate litigation attorney with the Law Offices of Joseph D'Elia, Esq. For more than a decade, I provided counsel and represented clients in many different areas of the law, focusing especially on personal injury defense and securities law. Our firm represented many of the largest broker-dealers on Wall Street in both state and federal court, as well as before FINRA arbitration panels throughout the United States.

I personally tried numerous arbitration claims through to hearing, including more than one hundred expedited arbitration claims related to one broker-dealer's sales of limited partnership interests. I represented the firms and their brokers in many customer disputes involving claims of unsuitable sales, churning, misrepresentation/fraud, and misappropriations as well as pursuing former financial advisors for breaches of contract and debts to their broker-dealer, etc.

In 1999, I joined the Compliance Department at New York Life Insurance Company, and its affiliated broker-dealer and registered investment advisor firms. At NYL, I handled a number of compliance functions including oversight of regulatory reporting and CRD System disclosures and responses to regulatory inquiries and exams. In 2005, I was promoted to Vice President of Standards and Supervision for the firm's broker-dealer and investment advisor entities. In this role, I was responsible for maintenance of the firm's written supervisory policies and procedures; handled disciplinary matters involving registered representatives/financial advisors; responded to customer complaints, regulatory inquiries and exams; and oversaw a number of surveillance and trade review functions.

In 2010, I joined the Legal Department at AIG Advisor Group as a litigation associate, covering the firm's four affiliated broker-dealers (Royal Alliance Associates, Inc., based in New York; FSC Securities Corp., based in Atlanta; SagePoint Financial, Inc., based in Phoenix; and Woodbury Financial Services, Inc., based in Minneapolis). I represented the firms in numerous FINRA arbitration claims throughout the country, responded to inquiries from FINRA, state securities departments and the SEC, and provided general counsel on securities matters to the Firms' employees and financial advisors.

In 2014, I assumed the role of Chief Compliance Officer for three of the firm's broker-dealers, and I am presently the CCO for two Advisor Group firms: Royal Alliance and SagePoint Financial.

I hold FINRA Series 7, 24 and 66 licenses, and am registered as an arbitrator with FINRA's Office of Dispute Resolution.

I believe that the knowledge and experience I've gained through my years as an attorney and compliance officer will make me a valuable member of the District Committee. I can assess the issues facing the Committee in a positive and objective manner, and am a committed advocate for the betterment of our industry. Please support my candidacy for a seat on the District 10 Committee.

Very truly yours,

Justin I. Sacca

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