

Election Notice

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, 2015.

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

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

Midwest Region

- ▶ **Dock David Treece**, Vice President and Chief Compliance Officer, Treece Financial Services Corp.

South Region

- ▶ **Karen Z. Fischer**, Chief Compliance Officer, Financial and Operations Principal, BG Strategic Advisors, LLC

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

- ▶ **Myles Edwards**, Chief Compliance Officer and General Counsel, Constellation Wealth Advisors LLC
- ▶ **Victoria Bach-Fink**, Chief Executive Officer and Chief Financial Officer, Wall Street Financial Group, Inc., LLC

These elected and appointed individuals will serve three-year terms beginning January 1, 2015.

December 5, 2014

Suggested Routing

- ▶ Executive Representative
- ▶ Senior Management

National Adjudicatory Council

The following individual was elected to fill the Small Firm seat on the NAC.

Stephen Kohn	President and CEO, Stephen A. Kohn Associates, Ltd.
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Additionally, the Board appointed the following individuals as Non-Industry NAC Members.

Hillary A. Sale	Professor, Washington University School of Law
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C. Thomas Tull	Chief Investment Officer, Employees Retirement System of Texas
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Susan Ferris Wyderko	President and CEO, Mutual Funds Directors Forum
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These elected and appointed individuals will serve three-year terms beginning January 1, 2015.

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, 2015.

District 1:

- ▶ Small Firm Representative: **Chris Charles**, CEO/CCO, Wulff, Hansen & Co.
 - ▶ Mid-Size Firm Representative: **Austin Hamilton**, Chief Compliance Officer, BTIG
 - ▶ Large Firm Representative: **Kevin H. Smith**, Market Manager, Wells Fargo Advisors, LLC
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District 2:

- ▶ Small Firm Representative: **Rick Dahl**, Chief Compliance Officer, Sorrento Pacific Financial, LLC
 - ▶ Small Firm Representative: **Michelle Thomas**, Chief Compliance Officer, WBB Securities, LLC
 - ▶ Mid-Size Firm Representative: **Patti A. Kuhlman**, Chief Compliance Officer, Girard Securities
 - ▶ Large Firm Representative: **Aimee Blinder**, VP, Compliance, National Planning Corporation
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District 3:

- ▶ Small Firm Representative: **Harry Striplin**, Chief Compliance Officer, Umpqua Investments, Inc.

- ▶ Mid-Size Firm Representative: **Joanne M. Salisbury**, VP, Chief Compliance Officer, Signator Financial Services, Inc.

- ▶ Large Firm Representative: **Vincent Madden**, Market Manager, Wells Fargo Advisors, LLC

District 4:

- ▶ Small Firm Representative: **Jessica Pastorino**, President, M&A Securities Group, Inc.

- ▶ Mid-Size Firm Representative: **Amy Shelton**, VP of Client Interactions & Marketing Compliance, American Century Investment Services

- ▶ Large Firm Representative: **Kenneth M. Cherrier**, Chief Supervisory Officer, Waddell & Reed

District 5:

- ▶ Small Firm Representative: **Sarah Sherck**, Chief Compliance Officer, Avondale Partners, LLC

- ▶ Small Firm Representative: **Mary Ellen Williams**, VP/Chief Compliance Officer, Lieblong & Associates, Inc.

- ▶ Mid-Size Firm Representative: **Nancy Johnson Jones**, CFP®, CSCP™, Chief Compliance Officer, BOSCO, Inc.

- ▶ Large Firm Representative: **Kevin Scanlon**, EVP, Manager – Private Client Group, Stephens

District 6:

- ▶ Mid-Size Firm Representative: **Tim Edwards**, Executive Vice President, Prospera Financial Services, Inc.

- ▶ Large Firm Representatives: **Mitzi Hallmark**, Vice President, Compliance Training, Merrill Lynch, Pierce, Fenner & Smith Inc.

- William A. Lee**, Complex Manager, Wells Fargo Advisors, LLC

District 7:

- ▶ Small Firm Representative: **Patrick Sheehan**, Chief Executive Officer, Elevation, LLC

- ▶ Mid-Size Firm Representative: **Beth E. Burns**, Director of Compliance, Synovus Securities, Inc.

- ▶ Large Firm Representative: **Charles Lambert White III**, Managing Director/Complex Director, Morgan Stanley

- ▶ Large Firm Representative: **Melinda Wolfe**, Compliance Officer, Kovack Securities (one-year term)

District 8:

- ▶ Small Firm Representative: **Stephen W. Mack**, President, Mack Investment Securities
- ▶ Mid-Size Firm Representative: **Jeff Levine**, Managing Director, Director of Compliance, Mesirow Financial
- ▶ Large Firm Representative: **Kathy J. Birk**, Executive Director/Complex Manager, Morgan Stanley
- ▶ Large Firm Representative: **Jeffrey “Jay” Bley**, Chief Operating Officer, The O.N. Equity Sales Company

District 9:

- ▶ Small Firm Representative: **Catherine A. Cucharale**, Chief Operating Officer/Chief Compliance Officer, M. Griffith Investment Services, Inc.
- ▶ Mid-Size Representative: **Douglas A. Wright**, Chief Compliance Officer, The Investment Center, Inc.
- ▶ Large Firm Representative: **Stephanie Peters Mumford**, Vice President and Chief Compliance Officer, T. Rowe Price Investment Services, Inc.

District 10:

- ▶ Small Firm Representatives: **Erin Baskett**, Managing Partner – CFO/CCO, Autonomous Research US LP
Caitlin M. Smith, Chief Compliance Officer, Norfolk Markets, LLC
- ▶ Mid-Size Firm Representative: **Carmen Sibilía**, Compliance Officer & Assistant AMLCO, National Securities Corporation & Finance Investments, Inc.
- ▶ Large Firm Representative: **Dino E. Carfora**, Executive Director/Complex Manager, Morgan Stanley
- ▶ Large Firm Representative: **Patrick Langone**, Executive Director, Morgan Stanley

District 11:

- ▶ Small Firm Representative: **Lou D’Souza**, Director and Chief Compliance Officer, Cormack Securities Inc.
- ▶ Mid-Size Firm Representative: **Jay Lanstein**, Chief Executive Officer, Cantella & Co., Inc.
- ▶ Large Firm Representative: **David P. Swartz**, Complex Manager, Executive Director, Morgan Stanley