

Candidate Profile — District Committee Election

Candidate Name: Joanne M. Salisbury

Title: VP, Chief Compliance Officer

Firm: Signator Financial Services, Inc.

Candidate Biography and Personal Statement

Personal Statement:

"After having worked with the investment community for over 30 years, I feel it's important that I give back to our industry by becoming more actively involved with FINRA. I am passionate about the obligation I accepted when I entered this business: to be a good steward of the trust and assets the investing public places in our firms. I also enjoy helping individuals and organizations successfully navigate through what can sometimes be a complex regulatory environment. I feel that my range of experience and perspective allows me to bring a knowledgeable, thoughtful and broad point of view to any FINRA committee."

Biography:

Joanne M. Salisbury is currently Vice President and Chief Compliance Officer of Signator Financial Services, Inc. (SFS) a wholly owned subsidiary of the John Hancock Financial Network (JHFN). She also holds the title of Director of Field Supervision with JHFN's parent company: Manulife.

During her career she has held executive positions as President, Chief Compliance Officer, Chief Financial Officer, Chief Operating Officer, Chief Operations Officer and Vice President at a variety of full-service, online, insurance-affiliated, self-clearing and/or fully-disclosed securities firms.

She has been a member of the Financial Services Institute; the Wood's Creek Executive Peer Group and the Seattle RIA CCO Roundtable. Joanne was past-president of the Northwest Securities Management Association and is currently active with the National Society of Compliance Professionals and LIMRA/LOMA.

Joanne also established and operated Salisbury Consulting, Inc. a successful full-service consulting firm servicing financial and legal professionals. The firm was dedicated to helping those professionals reach a level of understanding of the intricacies of securities compliance and operations that allowed for proactive and possibility thinking.

Joanne frequently enjoys speaking on compliance matters at national conferences; she is listed in several Who's Who of business professionals publications and is an active volunteer with ArtsFund (formerly Puget Sound Council of the Arts) and Hopelink.

Joanne holds the following active securities registrations and designations:

- General Securities Representative (Series 7 and 63)
- General Securities Principal (Series 24)
- Financial & Operations Principal (Series 27)
- Investment Adviser (Series 65)
- Municipal Securities Principal (Series 53)
- Equity Trader Limited Representative (Series 55)
- Options Principal (Series 4)
- FLMI, Fellow, Life Management Institute (LOMA)
- AIRC, Associate, Insurance Regulatory Compliance (LOMA)



Optional Links:

Link to personal website, resume or CV: None

Link to YouTube video: None