

Contact FINRA District Committees

The District committees advise FINRA on industry trends of regulatory concern and provide input on the impact of FINRA's regulatory programs. District Committee members are interested in your comments and questions regarding FINRA's regulatory programs.

You may email your comments and questions directly to a committee member in your district by clicking a committee member's name.

2016 Committee Rosters

District 1

Chris Charles	Wulff, Hansen & Co.	San Francisco, CA
Jeff Branch	Morgan Stanley	Fresno, CA
Austin Hamilton	BTIG, LLC	San Francisco, CA
Robert Muh	Sutter Securities, Inc.	San Francisco, CA
Kevin Smith	Wells Fargo Advisors	San Francisco, CA
James Williams	Financial Telesis, Inc.	San Rafael, CA

District 2

Aimee Blinder	National Planning Corporation	El Segundo, CA
David Martin	Keystone Capital Corp.	San Diego, CA
Sandy Pappalardo	Sorrento Pacific Financial LLC	San Diego, CA
Mark Quinn	First Allied Securities, Inc.	San Diego, CA
Michelle Thomas	WBB Securities, LLC	San Diego, CA
Kathleen VanNoy-Pineda	LPL Financial LLC	San Diego, CA

District 3

Bernard Breton	Cetera Advisors LLC	Denver, CO
Carrie Fleisher	M Holdings Securities, Inc.	Portland, OR
Kay Johnson	National Securities Corporation	Seattle, WA
Vincent Madden	Wells Fargo Advisors	Seattle, WA
Paige Pierce	RW Smith & Associates, LLC	Sandy, UT
Joanne Salisbury	EK Riley Investments, LLC	Seattle, WA
Harry Striplin	Umpqua Investments, Inc.	Portland, OR

District 4

Kelly Anderson	RBC Capital Markets, LLC	Minneapolis, MN
Kenneth Cherrier	Waddell & Reed	Overland Park, KS
Mark Gherity	Morgan Stanley	Minneapolis, MN
Robert Hamman	First Asset Financial Inc.	Salina, KS
Jessica Pastorino	M&A Securities Group, Inc.	Kansas City, MO
Nancy Richter	Cutter & Company, Inc	Ballwin, MO
Amy Shelton	American Century Investment Services	Kansas City, MO

District 5

Mark Chambers	Thrasher & Chambers, Inc.	Bentonville, AR
Richard Folmar	Wells Fargo Advisors, LLC.	Oklahoma City, OK
Nancy Johnson Jones	BOSC, Inc.	Tulsa, OK
Kevin Scanlon	Stephens, Inc.	Little Rock, AR
Ray Thompson	Dorsey & Company, Inc.	New Orleans, LA
Mary Ellen Williams	Lieblong & Associates	Little Rock, AR
Mayo Woodward	BB&T Scott and Stringfellow	Birmingham, AL

District 6

Ed Balsmann	Tudor, Pickering, Holt & Co. Securities, Inc.	Houston, TX
Christopher Barton	Morgan Stanley	Dallas, TX
Tim Edwards	Prospera Financial Services	Dallas, TX
Mitzi Hallmark	Merrill Lynch, Pierce, Fenner & Smith Inc.	Boerne, TX
Albert Johnson	VALIC Financial Advisors	Houston, TX
William Lee	Wells Fargo Advisors	San Antonio, TX
Linde Murphy	M.E. Allison & Co., Inc.	San Antonio, TX

District 7

Ken Bell	Cetera Advisor Networks LLC	Atlanta, GA
Beth Burns	Synovus Securities	Columbus, GA
John Dillon	FSC Securities Corp.	Atlanta, GA
Patrick Sheehan	Elevation, LLC	Charlotte, NC
David Weinberger	International Assets Advisory, LLC	Orlando, FL
Charles Lambert White, III	Morgan Stanley	Boca Raton, FL
Carrie Wisniewski	Bridge Capital Associates, Inc.	Lilburn, GA

District 8

Eric Bederman	Romano Wealth Management	Evanston, IL
Jeffrey Bley	The O.N. Equity Sales Company	Cincinnati, OH
William Hayden	Keybank Capital Markets, Inc.	Cleveland, OH
Wilford Kavanaugh	Allstate Financial Services, LLC	Northbrook, IL
Lisa Lauria	Thurston Springer Miller Herd & Titak, Inc.	Indianapolis, IN
Jeff Levine	Mesirow Financial	Chicago, IL
Stephen Mack	Mack Investment Securities	Northfield, IL

District 9

Michael J. Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Catherine Cucharale	M. Griffith Investment Services	New Hartford, NY
Peter Elish	Peter Elish Investments Securities	Canonsburg, PA
Shawn McLaughlin	McLaughlin Ryder Investments, Inc.	Alexandria, VA
Stephanie Peters Mumford	T. Rowe Price Investments	Baltimore, MD
Michael Robinson	Morgan Stanley	McLean, VA
Douglas Wright	The Investment Center	Bedminster, NJ

District 10

Erin Baskett	Autonomous Research US	New York, NY
Lew Breckenridge	KKR Capital Markets	New York, NY
Christopher Davis	Wells Fargo Advisors, LLC	Melville, NY
Stephen Distanto	Vanderbilt Securities, LLC	Woodbury, NY
Nina J. Ihnken	Abel/Noser Corp.	New York, NY
Maurya Keating	AXA Advisors, LLC	New York, NY
Patrick Langone	Morgan Stanley	New York, NY
Joseph Mendola	Siebert Branford Shank, LLC	New York, NY
Justin Sacca	Royal Alliance Associates, Inc.	New York, NY
Anthony Savarese	ITG, Inc.	New York, NY
Carmen Sibilis	National Securities Corp.	New York, NY
Caitlin Smith	Norfolk Markets LLC	New York, NY
Samuel Turvey	TIAA-CREF	New York, NY

District 11

Norman L. Ashkenas	Fidelity Brokerage Services LLC	Boston, MA
Lou D'Souza	Cormark Securities, Inc.	Toronto, ON
Earle Hollister	St. Germain Securities Inc.	Springfield, MA
Jennifer Hoopes	Funds Distributors, LLC	Portland, ME
Jay Lanstein	Cantella & Co., Inc.	Boston, MA
MacGregor Maitland	Lincoln Financial Securities Corp.	Concord, NH
David Swartz	Morgan Stanley	Wellesley, MA