

Attachment B—Candidates for Uncontested Regional Committee Seats

Information about each candidate is available at:

<https://www.finra.org/notices/RegionalElection/CandidateProfiles>

District 1: *Northern California (the counties of Monterey, San Benito, Fresno and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye), and the remainder of the state north or west of such counties) and Hawaii*

- No Candidates

District 3: *Alaska, Arizona, Colorado, Idaho, Montana, New Mexico, Oregon, Utah, Washington and Wyoming*

- No Candidates

District 4: *Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota*

- Matthew Rothchild – Compliance Officer, Advanced Advisor Group, LLC
- Adym Rygmyr – Director of Compliance for Products, Trading, Operations & Banking, Edward Jones

District 5: *Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee*

- No Candidates

District 6: *Texas*

- Ann Sebert – Chief Executive Officer & President, Capital Institutional Services, Inc.

District 7: *Florida, Georgia, North Carolina, Puerto Rico, Panama, South Carolina and the Virgin Islands*

- Charis I. Jones – Senior Vice President & Co-Head of Business Risk Management, LPLFinancial LLC
- James M. Swartwout – President & Chief Operating Officer, Robinhood Securities, LLC

District 8: *Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin*

- Stephen Berkeley – Chief Compliance Officer & Regulatory Counsel, Loop Capital Markets LLC
- John Szwagolak – Chief Compliance Officer, Huntington Securities, Inc.

District 9: *Delaware, the District of Columbia, Maryland, New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City), Pennsylvania, Virginia and West Virginia*

- Nancy L. Heffner – Director of Compliance, Lincoln Investment

- Steven D. Trigili – Chief Compliance Officer, Garden State Securities, Inc.

District 10: *New York (Nassau and Suffolk Counties, Bronx, Brooklyn, New York County, Queens and Staten Island)*

- No Candidates

District 11: *Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont*

- Sheelagh Howett – Chief Risk Officer & Chief Compliance Officer, Cantella & Co., Inc.
- Matthew J. Sugden – Vice President, Compliance, Commonwealth Financial Network