

# Election Notice

## FINRA Announces Regional Committee, SFAC and NAC Election Results and Appointments

### Executive Summary

FINRA recently held annual elections to fill vacancies on its Regional Committees, Small Firm Advisory Committee (SFAC), and the National Adjudicatory Council (NAC). Additionally, at its December meeting, the FINRA Board of Governors (FINRA Board) also selected individuals to fill several appointed seats on the SFAC and NAC. This *Notice* lists the individuals recently elected and appointed to the Regional Committees, SFAC and NAC.

Questions concerning this *Notice* may be directed to Jennifer Piorko Mitchell, Vice President and Deputy Corporate Secretary, at [CorporateSecretary@finra.org](mailto:CorporateSecretary@finra.org) or (202) 728-8949.

### Regional Committees

The individuals below were elected or appointed to serve three-year terms on FINRA's Regional Committees beginning January 1, 2021. The seats noted with an asterisk (\*) were either uncontested races or were appointed by FINRA, as there were no candidates for these seats. For the New York Region Committee listed below, FINRA is seeking candidates for the four vacancies on this committee. Qualified individuals interested in serving on this committee should email the Office of the Corporate Secretary at [CorporateSecretary@finra.org](mailto:CorporateSecretary@finra.org) to be considered for these vacancies.

**December 15, 2020**

### Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

West Region Committee	
<b>District 1 Representatives</b>	Two Seats Open – Appointees Being Identified <sup>1</sup>
<b>District 2 Representatives<sup>2</sup></b>	<ul style="list-style-type: none"> <li>• <b>Michael Kane</b>, Managing Partner, Kane &amp; Company d.b.a. TransactionDrivers LLC</li> <li>• <b>Mark Quinn</b>, Director of Regulatory Affairs, Cetera Advisor Networks, LLC/Cetera Financial Group</li> <li>• <b>Ann Robinson</b>, Chief Compliance Officer, Farmers Financial Solutions, LLC</li> </ul>
<b>District 3 Representatives</b>	Two Seats Open – Appointees Being Identified <sup>3</sup>

Midwest Region Committee	
<b>District 4 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Matthew Rothchild</b>, Compliance Officer, Advanced Advisor Group, LLC</li> <li>• <b>Adym Rygmyr</b>, Director of Compliance for Products, Trading, Operations &amp; Banking, Edward Jones</li> </ul>
<b>District 8 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Stephen Berkeley</b>, Chief Compliance Officer &amp; Regulatory Counsel, Loop Capital Markets LLC</li> <li>• <b>John Szwagulak</b>, Chief Compliance Officer, Huntington Securities, Inc.</li> </ul>

South Region Committee	
<b>District 5 Representatives</b>	Two Seats Open – Appointees Being Identified <sup>4</sup>
<b>District 6 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Ann Sebert</b>, Chief Executive Officer &amp; President, Capital Institutional Services, Inc.</li> <li>• One Seat Open – Appointee Being Identified<sup>5</sup></li> </ul>
<b>District 7 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Charis I. Jones</b>, Senior Vice President &amp; Co-Head of Business Risk Management, LPL Financial LLC</li> <li>• <b>James M. Swartwout</b>, President &amp; Chief Operating Officer, Robinhood Securities LLC</li> </ul>

North Region Committee	
<b>District 9 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Nancy L. Heffner</b>, Director of Compliance, Lincoln Investment</li> <li>• <b>Steven D. Trigili</b>, Chief Compliance Officer, Garden State Securities, Inc.</li> </ul>
<b>District 11 Representatives*</b>	<ul style="list-style-type: none"> <li>• <b>Sheelagh Howett</b>, Chief Risk Officer &amp; Chief Compliance Officer, Cantella &amp; Co., Inc.</li> <li>• <b>Matthew J. Sugden</b>, Vice President – Compliance, Commonwealth Financial Network</li> </ul>

New York Region Committee	
<b>District 10 Representatives</b>	Four Seats Open – Appointees Being Identified <sup>6</sup>

### Small Firm Advisory Committee

FINRA’s small firms elected the following individual to fill the South Region seat on the SFAC:

<b>South Region Representative</b>	<b>Carrie Wisniewski</b> , Chief Executive Officer & Founder, Bridge Capital Associates, Inc.
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The FINRA Board also appointed the following individuals to at-large seats and the Midwest Region seat\* on the SFAC:

<b>At-Large Members</b>	<ul style="list-style-type: none"> <li>• <b>Nathan Lewis</b>, President &amp; Chief Executive Officer, Security Capital Brokerage, Inc.</li> <li>• <b>Carlos Barrientos Serrano</b>, Chief Compliance Officer, Invex, LLC<sup>7</sup></li> <li>• <b>Jennifer Szaro</b>, Chief Compliance Officer, XML Securities</li> </ul>
<b>Midwest Region Representative<sup>8</sup></b>	<b>Trinity Lee</b> , Chief Compliance Officer, Heim, Young & Associates

The new SFAC members will serve three-year terms beginning on January 1, 2021.

## National Adjudicatory Council

The nominees for the large firm seats on the NAC were uncontested. The small firm seat was also uncontested, as there was only one petition candidate:

<b>Large Firm Member Seats<sup>9</sup></b>	<ul style="list-style-type: none"> <li>• <b>John O’Connell</b>, Managing Director, Goldman Sachs</li> <li>• <b>Debra Roth</b>, Executive Director, Morgan Stanley<sup>10</sup></li> </ul>
<b>Small Firm Member Seat<sup>11</sup></b>	<b>Robert Keenan</b> , Chief Executive Officer & Chief Compliance Officer, St. Bernard Financial Services, Inc.

In addition, there are two new appointed NAC members:

<b>Appointed Non-Industry Member Seats</b>	<ul style="list-style-type: none"> <li>• <b>Veronica Root Martinez</b>, Professor of Law, Notre Dame Law School</li> <li>• <b>Heather Traeger</b>, General Counsel &amp; Chief Compliance Officer, Teacher Retirement System of Texas</li> </ul>
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Each of the new NAC members were appointed by the Board to four-year terms beginning January 1, 2021.

## Endnotes

1. Individuals are being identified for appointment to the Regional Committee seats for which no individuals self-nominated.
2. The FINRA Board increased the size of the West Region Committee by one to allow both of the individuals tied for the District 2 Representative seat to serve on the committee.
3. Individuals are being identified for appointment to the Regional Committee seats for which no individuals self-nominated.
4. *See id.*
5. *See id.*
6. *See id.*
7. Mr. Serrano was appointed to complete a partial, one-year term concluding on December 31, 2021.
8. Normally, the SFAC Midwest seat is an elected position; however, since no candidates came forward to run for election for this seat, FINRA filled this vacancy by appointment.
9. FINRA nominees for the Large Firm NAC Member seats were uncontested. Therefore, FINRA did not mail ballots and the FINRA Board appointed the nominees to serve four-year terms on the NAC.
10. Ms. Roth will serve the remainder of the term for the currently vacant Large Firm Member seat, which expires on December 31, 2023.
11. As Mr. Keenan was the only petition candidate for the Small Firm Member seat, his candidacy was uncontested. Therefore, FINRA did not mail ballots and the FINRA Board appointed him to serve a four-year term on the NAC.