

Election Notice

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

Executive Summary

FINRA recently held annual elections to fill vacancies on the Small Firm Advisory Committee (SFAC) and the Regional Committees.¹ Additionally, at its December meeting, the FINRA Board of Governors (FINRA Board) also appointed several individuals to fill additional vacancies on the SFAC and the National Adjudicatory Council (NAC). This *Notice* lists the individuals recently elected and appointed to the SFAC, Regional Committees and NAC.

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

Small Firm Advisory Committee

FINRA's small firms elected the following individuals as the North Region and West Region Representatives on the SFAC:

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| North Region Representative | <ul style="list-style-type: none">Erin Baskett, Chief Compliance Officer, eToro USA Securities Inc. |
| West Region Representative | <ul style="list-style-type: none">Joseph Terry, Chief Compliance Officer, CCO Capital, LLC |

The FINRA Board also appointed the following individuals to at-large seats on the SFAC:

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| At-Large Members | <ul style="list-style-type: none">Venu Palaparathi, Co-Chief Operating Officer and Head of Regulatory Affairs, Dash Financial Technologies LLCCarlos Barrientos Serrano, Chief Compliance Officer and Anti-Money Laundering Compliance Officer, Invex, LLC² |
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The new SFAC members will serve three-year terms beginning on January 1, 2022.

December 15, 2021

Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

Regional Committees

The individuals below were elected to serve three-year terms on FINRA's Regional Committees beginning January 1, 2022. The seats noted with an asterisk (*) were uncontested races. For the open seats identified below, FINRA is seeking individuals to fill these positions. Qualified individuals interested in serving on these Regional Committees should complete the indication of interest form on [FINRA's website](#) or email the Office of the Corporate Secretary at CorporateSecretary@finra.org to be considered for these vacancies.

| West Region Committee | |
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| District 1 Representatives* | <ul style="list-style-type: none"> Dennis McCarron, Sr. Director Compliance - Chief Compliance Officer, SVB Wealth Advisory, Inc. <i>One Seat Open – Appointee Being Identified³</i> |
| District 2 Representatives* | <ul style="list-style-type: none"> Ken Muraoka, SVP, Head of Compliance Shared Services, Cetera Advisor Networks LLC <i>One Seat Open – Appointee Being Identified⁴</i> |
| District 3 Representatives | <ul style="list-style-type: none"> Brad Anderson, Chief Compliance Officer, DFPG Investments, LLC Katrina Santa Maria, Chief Executive Officer, M.S. Howells & Co. |
| Midwest Region Committee | |
| District 4 Representatives* | <ul style="list-style-type: none"> Mason A. Burnham, Divisional Supervisory Manager/ SVP/ FiNet Sales Supervision, Wells Fargo Advisors Financial Network, LLC Kim Chapman, Chief Compliance Officer, Berthel, Fisher & Company Financial Services, Inc. |
| District 8 Representatives | <ul style="list-style-type: none"> Scott Ironside, Director of Operational & Regulatory Related Risk, Robert W. Baird & Co. Incorporated Willson Rasavongxay, Chief Compliance Officer, William Blair |
| North Region Committee | |
| District 9 Representatives | <ul style="list-style-type: none"> Dan Logue, Counsel, Chief Compliance Officer & AMLCO, Muriel Siebert & Co., Inc. Douglas A. Wright, Chief Compliance Officer, The Investment Center, Inc. |
| District 11 Representatives* | <ul style="list-style-type: none"> Lisa Clifford, Chief Compliance Officer, Tritower Real Estate Capital, LLC <i>One Seat Open – Appointee Being Identified⁵</i> |

| New York Region Committee | |
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| District 10 Representatives* | <ul style="list-style-type: none"> • Damon B. Joyner, Chief Financial Officer, American Portfolios Financial Services, Inc. • Chad Kirschenblatt, Financial and Operational Principal, LSH Partners Securities LLC • John Parmigiani, Chief Executive Officer, Allied Millennial Partners, LLC • Anthony Savarese, Head of Compliance, XTX Execution Services LLC |
| South Region Committee | |
| District 5 Representatives* | <ul style="list-style-type: none"> • Sid Banks, Branch Manager, St. Bernard Financial Services, Inc. • Kurt Sims, Compliance Specialist, Arvest Wealth Management |
| District 6 Representatives* | <ul style="list-style-type: none"> • <i>Two Seats Open – No Candidates Self-Nominated – Appointees Being Identified⁶</i> |
| District 7 Representatives | <ul style="list-style-type: none"> • Nikki Brinkerhoff, Chief Compliance Officer, TradeStation Securities, Inc. • Jim R. Webb, Chief Executive Officer, American Global Wealth Management, Inc. |

National Adjudicatory Council

There were no seats on the NAC open for election in 2021. For appointed seats, the FINRA Board appointed the following individuals as new NAC members for four-year terms beginning January 1, 2022:

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| Appointed Non-Industry Member Seats | <ul style="list-style-type: none"> • Onnig Dombalagian, Professor of Law, Tulane University Law School • Nancy Morris, Retired |
| Appointed At-Large Member Seat | <ul style="list-style-type: none"> • Christopher Lewis, General Counsel, Edward Jones |

Endnotes

1. There were no seats on the National Adjudicatory Council (NAC) open for election in 2021.
2. Mr. Serrano is currently serving a partial one-year term on the SFAC and was reappointed to serve a full three-year term beginning on January 1, 2022.
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.*