

Attachment B—Candidates for Uncontested Seats

Information about each candidate is available at: <https://www.finra.org/notices/RegionalElection/CandidateProfiles>.

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

- **Gil Aikins**, B/D Operations Consultant & Financial Controller Specialist, Kepler Capital Markets, Inc.

North Region Committee/District 11 (*District 11: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont*)

- **Mark Trabucco**, Chief Compliance Officer, State Street Global Markets, LLC

South Region Committee/District 5 (*District 5: Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee*)

- **Don Chaney**, Chief Compliance Officer, Stephens Inc.
- **Sharon Dyer**, Municipal Principal and Assistant FinOp, St. Bernard Financial Services, Inc.

South Region Committee/District 6 (*District 6: Texas*)

- **William C. Hoover**, President/ Chief Executive Officer – Executive Representative, Steward Securities Group LLC
- **Michael Oxley**, Deputy Chief Compliance Officer, Apex Clearing Corporation

South Region Committee/District 7 (*District 7: Florida, Georgia, North Carolina, Puerto Rico, Panama, South Carolina and the Virgin Islands*)

- **Shawn Barko**, Chief Compliance Officer, Raymond James & Associates, Inc.
- **Harold G. Chaffee**, Chief Compliance Officer, Triad Advisors LLC

West Region Committee/District 1 (*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

West Region Committee/District 2 (*District 2: Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye) and the former U.S. Trust Territories*)

- **Dave Banerjee**, Registered Principal, Second Street Securities, Inc.
- **Audrey McMahon**, Head of Operations, Ares Management Capital Markets LLC

West Region Committee/District 3 (*District 3: Alaska, Arizona, Colorado, Idaho, Montana, New Mexico, Oregon, Utah, Washington and Wyoming*)

- **Ashley Adkins**, Chief Compliance Officer, Cash App Investing LLC
- **Kent Lund**, Interim Chief Executive Officer, Co-Head of Investment Banking, Co-Chief Compliance Officer, GVC Capital LLC