

Election Notice

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

December 16, 2022

Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

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) appointed several individuals to fill other 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 in the New York Region elected Janice Parise, Financial and Operations Principal, Winterflood Securities US Corporation, as the New York Region Representative on the SFAC.

The FINRA Board also appointed Michelle Thomas, Chief Compliance Officer/Chief Financial Officer, WBB Securities, LLC to an at-large seat on the SFAC.

The new SFAC members will serve three-year terms beginning on January 1, 2023.

Regional Committees

The individuals below were elected to serve three-year terms on FINRA's Regional Committees beginning January 1, 2023. 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	
District 1 Representatives*	<ul style="list-style-type: none"> • <i>Two Seats Open – FINRA Identifying Appointees²</i>
District 2 Representatives*	<ul style="list-style-type: none"> • Dave Banerjee, Registered Principal, Second Street Securities, Inc. • Audrey McMahon, Head of Operations, Ares Management Capital Markets LLC
District 3 Representatives*	<ul style="list-style-type: none"> • 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
Midwest Region Committee	
District 4 Representatives	<ul style="list-style-type: none"> • Basil Joseph, Chief Compliance Officer/Chief Financial Officer, Van Clemens & Co., Inc. • Daniel Wright, Chief Compliance Officer, Cambridge Investment Research, Inc.
District 8 Representatives	<ul style="list-style-type: none"> • Travis L. Bator, Chief Compliance Officer, Harbour Investments, Inc. • Stephen W. Mack, President/Owner, Mack Investment Securities, Inc.
North Region Committee	
District 9 Representatives	<ul style="list-style-type: none"> • Jason Albino, Chief Compliance Officer, Grove Point Investments, LLC • Samantha Larew, Chief Compliance Officer, Manning & Napier Investor Services, Inc.
District 11 Representatives*	<ul style="list-style-type: none"> • Mark Trabucco, Chief Compliance Officer, State Street Global Markets, LLC • <i>One Seat Open – FINRA Identifying Appointee³</i>
New York Region Committee	
District 10 Representatives*	<ul style="list-style-type: none"> • Gil Aikins, B/D Operations Consultant & Financial Controller Specialist, Kepler Capital Markets, Inc. • <i>Three Seats Open – FINRA Identifying Appointees⁴</i>

South Region Committee	
District 5 Representatives*	<ul style="list-style-type: none"> • Don Chaney, Chief Compliance Officer, Stephens Inc. • Sharon Dyer, Municipal Principal and Assistant FinOp, St. Bernard Financial Services, Inc.
District 6 Representatives*	<ul style="list-style-type: none"> • William C. Hoover, President/Chief Executive Officer – Executive Representative, Steward Securities Group LLC • Michael Oxley, Deputy Chief Compliance Officer, Apex Clearing Corporation
District 7 Representatives*	<ul style="list-style-type: none"> • Shawn Barko, Chief Compliance Officer, Raymond James & Associates, Inc. • Harold G. Chaffee, Chief Compliance Officer, Triad Advisors LLC

National Adjudicatory Council

There was one small firm seat on the NAC up for election in 2022. FINRA’s Nominating & Governance Committee declined to nominate a candidate and there was only one petitioner (John Parmigiani, CEO, Allied Millennial Partners) who submitted the sufficient number of petitions to become a candidate. Therefore, the seat was uncontested and FINRA did not hold an election. Mr. Parmigiani will become the new small firm NAC member starting on January 1, 2023, and will serve a four-year term.

For appointed seats on the NAC, the FINRA Board appointed the following individuals to four-year terms beginning January 1, 2023:

Appointed Non-Industry Member Seats	<ul style="list-style-type: none"> • Patricia Louie, Retired • Tanya Solov, Creative Director, Investor Protection Trust • Karen Woody, Associate Professor, Washington & Lee School of Law
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Endnotes

1. There was an open small firm seat on the National Adjudicatory Council (NAC); however, as there was only one certified candidate (John Parmigiani, CEO, Allied Millennial Partners), FINRA did not hold an election and Mr. Parmigiani will take the seat and become the new NAC member as of January 1, 2023, for a four-year term.
2. FINRA is identifying individuals for appointment to the Regional Committee seats for which no individuals self-nominated.
3. *See id.*
4. *See id.*