

## Attachment A—Candidates for Contested Seats

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

<b>Midwest Region Committee/District 4 (Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota) – Two seats available</b>		
Kenneth Cherrier	Chief Compliance Officer	Fidelity & Guaranty Securities, LLC
Matthew J. Kinsella	Vice President and Chief Compliance Officer	Ameritas Investment Company, LLC
Paul S. Maniffa	Manager – Business Compliance & Risk Controls	Ameriprise Financial, Inc.
Steve Youhn	Chief Compliance Officer	Cambridge Investment Research

<b>Midwest Region Committee/District 8 (Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin) – Two seats available</b>		
Jon V. Cherry	President & Head of North America Brokerage	Northern Trust Securities, Inc.
Tim Graham	President	Private Client Services, LLC
Randolph F. Pistor	Chief Legal Officer	Sigma Financial Corporation
John Szwagulak	Chief Compliance Officer	Huntington Securities, Inc.
Eric Wolfman	Deputy CCO, Senior Vice President and Compliance Director	Keybanc Capital Markets, Inc.

<b>New York Region Committee/District 10</b> ( <i>New York (Nassau and Suffolk Counties, Bronx, Brooklyn, New York County, Queens and Staten Island)</i> ) – <b>Four seats available</b>		
Dennis Azary	Deputy Chief Compliance Officer	Finalis Securities LLC
Lawrence S. Block	President and Chief Compliance Officer	Anubis Securities LLC
DiAnne Calabrisotto	Chief Operating Officer and Chief Compliance Officer	Siebert Williams Shank & Co., LLC
Steven Jafarzadeh	CCO & Partner	Stonehaven, LLC
John Keating	Chief Compliance Officer	Webull Financial
Dean Park	Chief Compliance Officer	BTG Pactual US Capital, LLC
Bishen Pertab	President, CEO & CCO	ICICI Securities Inc.
Stephen Sikes	Chief Executive Officer	Public Investing
Osamu Watanabe	General Counsel and Chief Compliance Officer	Moelis & Company LLC

<b>North Region Committee/District 9</b> ( <i>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)</i> ) – <b>Two seats available</b>		
Richard J. Carlesco Jr.	CEO/Recruiting	IBN Financial Services, Inc.
Jason Gerb	SVP, Chief Regulatory Officer	Osaic Wealth, Inc.
Caroline K. Hall	Chief Compliance Officer and Deputy General Counsel	Janney Montgomery Scott
Jeff Johnson	Chief Compliance Officer	Pacer Financial, Inc.
Nick Leighton	Associate Chief Compliance Officer	Hornor, Townsend & Kent, LLC
Stephanie Mumford	Chief Compliance Officer/ Managing Legal Counsel	T. Rowe Price Investment Services, Inc.
Jeffrey Pasquerella	Global Chief Legal Officer	Drivewealth LLC

<b>South Region Committee/District 6 (Texas) – Two seats available</b>		
Debby Bicanic	Head of Supervision, Fixed Income Capital Markets	Hilltop Securities, Inc
Veronica Hammond	Senior Vice President, Chief Compliance Officer	First Command Brokerage Services, Inc.
Jim Muir	Chief Compliance Officer	USAA Investment Services Company
Chris Neidlinger	Chief Compliance Officer and AML Officer	Institutional Securities Corporation
Mike Pedlow	Chief Compliance Officer	Kestra Financial
Tarah Williams	President & Chief Operating Officer	Prospera Financial Services

<b>South Region Committee/District 7 (Florida, Georgia, North Carolina, Puerto Rico, Panama, South Carolina and the Virgin Islands) – Two seats available</b>		
Shauna Blake	Senior Vice President, Head of Supervision	LPL Financial
Scot Galvin	Sr. Director and Chief Operating Officer	Robinhood Securities LLC
Paula Heffron	Chief Compliance Officer	First Citizens Investor Services, Inc.
Joquinn T. Sadler	CEO	Nortlov Securities, LLC
Robert Sykes	Chief Compliance Officer	Ally Invest Securities LLC

<b>West Region Committee/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) – Two seats available</b>		
Travis L. Bator	Chief Compliance Officer	Independent Financial Group LLC
John Calicchio	President/CEO	ICON Capital Group, LLC
Michael Kane	CEO, ER, CCO, AML, BCP, CE	TransactionDrivers LLC dba Kane & Company
Darius Lashkari	CCO / AMLCO	Investment Placement Group
Mark Quinn	Director of Regulatory Affairs	Cetera Advisor Networks, LLC
Ann Robinson	Chief Compliance Officer	Farmers Financial Solutions, LLC

<b>West Region Committee/District 3</b> ( <i>Alaska, Arizona, Colorado, Idaho, Montana, New Mexico, Oregon, Utah, Washington and Wyoming</i> ) – <b>Two seats available</b>		
Daren Bryan	Manager, Branch Office Compliance/Inspections Team	Empower Financial Services, Inc.
Janice Hernandez	Compliance Officer	Wilson-Davis & Co., Inc.
Michael S. Schoonmaker	President of M Holdings Securities	M Holdings Securities
Jacob Stewart	Chief Compliance Officer	Saturna Brokerage Services
Robert Wrubel	President	Cascade Investment Group, Inc.