

Candidate Profile — District Committee Election

Candidate Name: Rick Dahl

Title: EVP, CCO

Firm: Sorrento Pacific Financial LLC

Candidate Biography and Personal Statement

Rick Dahl
Executive Vice President and Chief Compliance Officer,
Sorrento Pacific Financial, LLC

Rick Dahl is EVP and CCO at Sorrento Pacific Financial (SPF) and EVP at CUSO Financial Services, two sister companies and broker-dealers serving customers across the U.S. Rick will bring more than 33 years of investment industry experience with both small, medium and large firms to the District Committee.

Prior to his positions with SPF and CFS, Rick served in a number of executive management positions at W.S. Griffith and LPL, and early in his career he served as an independent financial planner before moving on to compliance and management roles. In all, the experience he has gained over the years gives him the ability to understand and take action on a variety of issues facing small broker-dealers.

Rick just completed a shortened term on the District Committee and strongly desires to continue making inroads that will benefit small firms. With his industry experience and relationships he has built with FINRA staff and other industry advocates, Rick believes he is well positioned to be a strong voice to support the causes of interest to small broker-dealers.

If elected to the District Committee, Rick will be an advocate for small firms in many ways. "The small BD community understands the many challenges we face under today's regulatory climate, but I am not sure the regulators appreciate what we are faced with," He says. "We need a voice to share our concerns, not just from a rules management standpoint in dealing with multiple regulators, but also from the standpoint of addressing increasing financial burdens placed on us as well. My presence on this committee allows your concerns to be heard by the people who can act on them."

Please elect Rick Dahl to the District Committee.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/profile/view?id=9594769&authType=name&authT>

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Michelle Thomas

Title: Chief Compliance Officer

Firm: WBB Securities, LLC

Candidate Biography and Personal Statement

Michelle Thomas serves as the Chief Compliance Officer for WBB Securities, LLC, a Broker-Dealer and Registered Investment Adviser headquartered in San Diego, CA. Michelle has been with WBB Securities for two years and brings over two decades experience as both a business owner and member of Senior Management at Jack White & Co, TD Waterhouse and Allstate Financial Services. Michelle has expertise in financial operations and compliance in both brokerage and managed/advisory accounts. Beginning her career in 1991, Ms. Thomas has served in a quality control capacity and has been instrumental in creating solutions and enhancing written procedures mitigating both regulatory and financial risk.

Ms. Thomas holds Series 7, 66, 24 licenses and California Life/Health/Disability Insurance license. She is currently enrolled in the Certified Regulatory and Compliance Professional Program (CRCP), through the FINRA Institute at Wharton School of Business, a program tailored to securities laws and regulations.

Statement

I am asking for your support in gaining the privilege of serving as your representative on the FINRA District 2 Committee. The regulatory environment under which FINRA firms operate is one that is dynamic and can be very subjective by nature. It is important for member firms to have representation, by individuals like myself, whose professional skills and experience are mutually compatible in collaborating with FINRA and other committee members to formulate rules and strengthen relationships between member firms and FINRA. A "Commitment to ethical standards coupled with a pragmatic approach to situations" is the philosophy that drives my approach and will help small firms within District 2 to operate and resolve issues in a manner that is sensible, efficient and adherent to FINRA policy.

Over two decades of practical hands-on professional experience, with a concentration in compliance matters and business operations, has shaped my skill set to align accordingly with the qualifications needed to be successful as a Small Firm Representative on the FINRA District 2 Committee. It is through my firsthand experience as the Chief Compliance Officer for WBB Securities that I have had the pleasure of witnessing how upholding the highest ethical standards, and identifying opportunities where self regulation through FINRA membership can be used as tools for building and maintaining a compliant, credible and profitable securities firm.

Optional Links:

Link to personal website, resume or CV: <http://www.Michelle4District2.com>

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Yvonne Yiu

Title: CEO/FINOP

Firm: Key West Investments LLC

Candidate Biography and Personal Statement

Yvonne Yiu -- CEO/President of Key West Investments, LLC

Ms. Yvonne Yiu has over 17 years experience in financial management, advisory, sales and securities compliance. Ms. Yiu is responsible for all ongoing financial reporting with regular communications with FINRA/ SEC and other regulatory bodies.

Key West Investments is a FINRA/SEC/SIPC registered Broker-Dealer provides Investment Banking, & Brokerage Services which include IPO, (M&A), Restricted Stock Processing, Rule 144, Private Placement, EB5, Real-Estate Funds (REITs)... etc. Projects are partnering with Investment Banks in China and various US partners including US Embassy Beijing to organize events in China.

Before starting Key West Investments, LLC -- a licensed Broker-Dealer, Ms. Yiu was a VP, Regional Sales Manager at Merrill Lynch to manage a team of 5 branches and 50+ Financial Advisors with over \$4 billion assets. At Merrill Lynch, she handled complex strategic issues to assist and guide Financial Advisors. She held weekly strategy meetings and support efforts in developing and executing sales, compliance and marketing strategies on new products including Paulson Hedge Funds, Carlyn Private Equity Funds and Merrill Lynch Real-Estate Opportunity Funds...etc. She assisted structuring in derivatives products with origination teams, and sourcing new potential clients.

Yvonne also works part-time as FINRA Arbitrator and Expert Witness for Attorneys & clients in securities industry. Expert Witness and advisory experience:

1. Invited by SEC to give advice on EB5, Private Equity Funds and International Securities Regulation to a panel consists of SEC & FINRA (NASD/NYSE) regulators.
2. Expert Witness cases with Investors include Hollywood Celebrity, and Financial Professionals...etc.
3. Invited by Radio/TV as industry expert to discuss M&A, Public Offerings, Private Real-Estate Funds/Public REITs.
4. Distinguished & top ranked guest speaker at City U of HK.

Ms. Yiu holds a B.A. in Economics (U.C.L.A.), M.B.A. in Finance and Marketing (Loyola Marymount University) and Certified Regulatory and Compliance Professional Program "CRCP" (Wharton Business School at University of Pennsylvania), Certified FINRA Arbitrator and 3, 4, 7, 8, 9, 10, 24, 27, 53, 63, 65, 99 securities registrations and California Insurance License.

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Link to YouTube video: _____