

# Election Notice

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

### Executive Summary

FINRA's annual Regional Committee, Small Firm Advisory Committee (SFAC) and National Adjudicatory Council (NAC) elections concluded in November. Additionally, the FINRA Board of Governors (FINRA Board) recently appointed individuals to fill a number of additional vacancies on the NAC and SFAC. This *Notice* lists the individuals recently elected and appointed to the SFAC, NAC and Regional Committees.

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

### Regional Committees

Earlier this year, FINRA reorganized the District Committees into Regional Committees to mirror the regions in which FINRA's Districts are administratively grouped and managed, and also revised candidate and member voting eligibility standards so that the committees better reflect the industry and members within each region. FINRA recently concluded its first Regional Committee election cycle.

The individuals below were elected to serve three-year terms on FINRA's Regional Committees beginning January 1, 2019. The seats noted with an asterisk (\*) below were uncontested races.

**December 21, 2018**

### Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

West Region Committee	
District 2 Representative*	▶ <b>Dan Thomas</b> – Supervisory Principal/Supervision of Registered Representatives, Independent Financial Group, LLC
District 3 Representatives	▶ <b>Mark Howells</b> – CEO, M.S. Howells & Co. ▶ <b>Teresa L. Luiz</b> – Director, Regulatory Compliance and Compliance Officer, GWFS Equities, Inc.

Midwest Region Committee	
District 4 Representatives <sup>1</sup>	▶ <b>Elizabeth Hansen</b> – SVP Chief Compliance Officer, Waddell & Reed, Inc. ▶ <b>Trinity Y. Lee</b> – Chief Compliance Officer, Heim, Young & Associates, Inc. ▶ <b>Kevin J. Miller</b> – Executive Vice President, General Counsel & Chief Compliance Officer Securities America, Inc.
District 8 Representatives	▶ <b>Elizabeth C. Kaplan</b> – Chief Compliance Officer, J.J.B. Hilliard W.L. Lyons, LLC ▶ <b>Peter Francis Schwartz</b> – Principal, Gregory J. Schwartz & Co., Inc.

South Region Committee	
District 5 Representative*	▶ <b>Nikki Brinkerhoff</b> – Chief Compliance Officer, FTB Advisors, Inc.
District 6 Representatives <sup>2</sup>	▶ <b>Eric Chartan</b> – Vice President & Associate General Counsel, HD Vest Investment Services ▶ <b>Cade Hamner</b> – General Counsel & Chief Compliance Officer, Commerce Street Capital, LLC ▶ <b>Michael Pedlow</b> – Chief Compliance Officer, Kestra Investment Services, LLC
District 7 Representatives	▶ <b>Kirk Bell</b> – SVP, Regional Director, Raymond James Financial Services, Inc. ▶ <b>Melinda Wolfe</b> – Chief Compliance Officer, Kovack Securities Inc.

North Region Committee	
District 9 Representatives*	<ul style="list-style-type: none"> <li>▶ <b>Stephanie Peters Mumford</b> – Chief Compliance Officer and Senior Legal Counsel, T. Rowe Price Investment Services, Inc.</li> <li>▶ <b>Douglas A. Wright</b> – Chief Compliance Officer, The Investment Center, Inc.</li> </ul>
District 11 Representatives*	<ul style="list-style-type: none"> <li>▶ <b>Mark Trabucco</b> – Chief Compliance Officer, State Street Global Markets, LLC</li> </ul>

New York Region Committee	
District 10 Representatives*	<ul style="list-style-type: none"> <li>▶ <b>Erin Baskett</b> – CFO &amp; Chief Compliance Officer, Autonomous Research US LP</li> <li>▶ <b>Jason Gerb</b> – Chief Compliance Officer, Foresters Financial Services, Inc.</li> <li>▶ <b>Howard Sendrovitz</b> – Deputy Chief Compliance Officer, J.P. Morgan Securities LLC</li> </ul>

### Small Firm Advisory Committee

**FINRA small firms elected the following individuals to fill open seats on the SFAC:**

North Region Representative	<ul style="list-style-type: none"> <li>▶ <b>Earle Hollister</b> – Compliance Manager, St. Germain Securities, Inc.</li> </ul>
West Region Representative	<ul style="list-style-type: none"> <li>▶ <b>Rick Dahl</b> – Chief Compliance Officer/Executive Vice President, Sorrento Pacific Financial, LLC</li> </ul>

**The FINRA Board also appointed the following individuals to the SFAC:**

At-Large Members	<ul style="list-style-type: none"> <li>▶ <b>Stephen W. Mack</b> – Owner and President, Mack Investment Securities</li> <li>▶ <b>Shawn P. McLaughlin</b> – President and CEO, McLaughlin Ryder Investments, Inc.</li> <li>▶ <b>Jennifer Szaro</b> – Chief Compliance Officer, Lara, May &amp; Associates</li> </ul>
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The newly elected and appointed SFAC members will serve three-year terms beginning on January 1, 2019, aside from Ms. Szaro, who was appointed to complete the term of an SFAC member who recently resigned; Ms. Szaro’s term concludes on December 31, 2020.

### National Adjudicatory Council

The following individuals were elected and appointed by the Board to fill vacancies on the NAC:

Elected Small Firm Member Seats	<ul style="list-style-type: none"> <li>▶ <b>Michelle Thomas</b> – Chief Compliance Officer, WBB Securities, LLC</li> <li>▶ <b>John Parmigiani</b> – Chief Executive Officer, Allied Millennial Partners, LLC</li> </ul>
Appointed Non-Industry Member Seats	<ul style="list-style-type: none"> <li>▶ <b>Doris Ling-Cohan</b> – Judge on the New York State Supreme Court</li> <li>▶ <b>Sarah McCafferty</b> – Retired (formerly of Maryland Securities Division and T. Rowe Price Investment Services, Inc. compliance department)</li> <li>▶ <b>Lori Richards</b> – Retired (formerly of the SEC &amp; JP Morgan Chase &amp; Co. compliance department)</li> </ul>

Each of the above members will serve four-year terms beginning January 1, 2019, aside from Mr. Parmigiani, who was elected to complete the remainder of a former member’s term; his partial term concludes on December 31, 2020.

### Endnotes

1. The FINRA Board increased the size of the Midwest Region Committee by one to allow both of the individuals tied for the District 4 Representative seat to serve on the committee.
2. As with the Midwest Region Committee, the FINRA Board increased the size of the South Region Committee by one to allow both of the individuals tied for the District 6 Representative seat to serve on the committee.