

Election Notice

District Elections

Election Results for District Committees and District Nominating Committees

Executive Summary

The purpose of this *Election Notice* is to announce the names of the newly elected District Committee and District Nominating Committee members. Each of the candidates nominated by the Regional Nominating Committees has been duly elected to terms beginning on June 1, 2008.¹ The newly elected District Committee members will serve three-year terms,² and the newly elected District Nominating Committee members will serve one-year terms. The names of the new committee members and the specific terms to which they were elected are listed in Attachment A.

The newly elected committee members were selected from a pool of 262 individuals who initially submitted their names to the various Regional Nominating Committees for consideration. We appreciate the substantial interest shown by all of the candidates participating in the District Elections, and thank everyone for their continuing support of the self-regulatory process.

The FINRA District Committees serve an important role in the self-regulation process by, among other things, alerting staff to industry trends that could be a potential regulatory concern; consulting with FINRA staff on proposed policies and rule changes brought to a District Committee for its views; serving on disciplinary panels in accordance with FINRA Rules; and promoting FINRA's mission and stated positions.

Questions concerning this *Notice* may be directed to Marcia E. Asquith, Senior Vice President and Corporate Secretary, FINRA at (202) 728-8949, or via email at CorporateSecretary@finra.org.

April 11, 2008

Suggested Routing

- Compliance
- Legal
- Operations
- Registration
- Senior Management

Note: This *Notice* was distributed electronically to the Executive Representative of each FINRA member firm and is posted on FINRA's Web site at www.finra.org/Notices/Election/041108. Executive Representatives should circulate this *Notice* to their firm's branch managers.

Endnotes

- 1 No additional candidates came forward to contest the election of the Regional Nominating Committee nominees. Pursuant to Section 8.19 of FINRA Regulation's By-Laws, in an uncontested election the candidates nominated by the Regional Nominating Committees shall be considered elected.
- 2 Some District Committee members were elected to fill existing vacancies and therefore may serve less than a three-year term, as indicated on Attachment A.

Attachment A

Newly Elected District Committee and District Nominating Committee Members

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

Christian A. Zrull, District Director (415) 217-1100
One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 956-1931 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Christopher Aguilar	Merriman Curhan Ford & Co.	San Francisco, CA
Stephen Chipman	Foothill Securities, Inc.	Mountain View, CA
Philip J. Economopoulos	Howe Barnes Hoefer & Arnett, Inc.	San Francisco, CA

Alternate

Herbert Kurlan	VT Brokers, LLC	San Francisco, CA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Howard A. Bernstein	Pacific Growth Equities, LLC	San Francisco, CA
William A. Evans	Stone & Youngberg, LLC	San Francisco, CA
Warren E. Gordon	Charles Schwab & Co.	San Francisco, CA
Bruce W. Nollenberger	Nollenberger Capital Partners, Inc.	San Francisco, CA
Daniel W. Roberts	Roberts & Ryan Investments Inc.	San Francisco, CA

Alternate

William A. Svoboda	Deutsche Bank Alex. Brown	San Francisco, CA
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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

David A. Greene, District Director
300 South Grand Avenue, Suite 1600
Los Angeles, CA 90071-3126

(213) 229-2300
(213) 617-3299 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Donna B. Lawson	First Allied Securities, Inc.	San Diego, CA
Kerry E. Cunningham	Financial Network Investment Corporation	El Segundo, CA
Westley H. King	Centarus Financial, Inc.	Orange, CA

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2009

Mitchell W. Howard	First Wilshire Securities Management, Inc.	Pasadena, CA
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Alternate

S. Kendrick Dunn, Jr.	Pacific Select Distributors, Inc.	Newport Beach, CA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Stephen B. Benton	Financial Network Investment Corporation	El Segundo, CA
James M. Dillahunty	Fixed Income Securities, LP	San Diego, CA
Kenneth R. Hyman	Partnervest Securities, Inc.	Santa Barbara, CA
Valorie A. Seyfert	CUSO Financial Services, LP	San Diego, CA
Bryan R. Plank	Merrill Lynch, Pierce, Fenner & Smith Incorporated	San Diego, CA

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

**Joseph M. McCarthy, Vice President and Regional Director
West Region**

370 17th Street, Suite 2900, Denver, CO 80202-5629

(303) 446-3100
(303) 620-9450 fax

Alaska, Idaho, Montana, Oregon and Washington

Michael E. Lewis, District Director

601 Union Street, Suite 1616, Seattle, WA 98101-2327

(206) 624-0790
(206) 623-2518 fax

District Committee Members Elected to Terms Expiring May 31, 2011

James R. Cannon	AIG Financial Advisors, Inc.	Phoenix, AZ
Adam M. Carmel	Larimer Capital Corporation	Denver, CO
Paige W. Pierce	RW Smith & Associates, Inc.	Sandy, UT

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2009

Steven S. Iversen	NEXT Financial Group, Inc.	Albuquerque, NM
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Alternate

Russell R. Diachok	Geneos Wealth Management, Inc.	Centennial, CO
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Gregory R. Anderson	MCL Financial Group, Inc.	Denver, CO
Curtis J. Hammond	Morgan Stanley & Co., Corporation	Bellevue, WA
Craig A. Jackson	Financial Network Investment Corporation	Roseburg, OR
Harry L. Striplin	Paulson Investment Company, Inc.	Portland, OR
Arlene M. Wilson	D.A. Davidson & Co.	Great Falls, MT

District 4

Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota

Thomas D. Clough, Associate Vice President and District Director (816) 421-5700
120 W. 12th Street, Suite 800, Kansas City, MO 64105 (816) 421-5029 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Christopher A. Cokinis	ING Financial Partners, Inc.	Des Moines, IA
Cheryl L. Heilman	Ameritas Investment Corp.	Lincoln, NE
James E. Nelson	Minnesota Valley Investments	Redwood Falls, MN

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2009

Jennifer R. Relien	Thrivent Investment Management, Inc.	Minneapolis, MN
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Alternate

Amy L. Webber	Cambridge Investment Research, Inc.	Fairfield, IA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Kenneth M. Cherrier	Woodbury Financial Services, Inc.	Woodbury, MN
Joseph D. Fleming	RBC Dain Rauscher Inc.	Minneapolis, MN
Mark T. Lasswell	Wells Fargo Brokerage Services, LLC	Minneapolis, MN
Allen J. Moore	SMITH HAYES Financial Services Corporation	Lincoln, NE
Minoo Spellerberg	Princor Financial Services Corporation	Des Moines, IA

District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850
New Orleans, LA 70163

(504) 522-6527

(504) 522-4077 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Rush F. Harding, III	Crews & Associates, Inc.	Little Rock, AR
Phillip H. Palmer	First Independent Financial Services, Inc.	Tulsa, OK
Sarah Sherck	Avondale Partners, LLC	Nashville, TN

Alternate

Mark Sheridan	Johnson Rice & Company, LLC	New Orleans, LA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Michaela D. Myers	NAFA CapitalMarkets, LLC	Oklahoma City, OK
James S. Jones	Crews & Associates, Inc.	Little Rock, AR
Henry M. "Trey" Fyfe, III	Duncan-Williams, Inc.	Memphis, TN
F. Eugene Woodham	Sterne, Agee & Leach, Inc.	Birmingham, AL
R. Patrick Shepherd	Avondale Partners, LLC	Nashville, TN

Alternate

Jennifer Carty Scola	Carty & Company, Inc.	Memphis, TN
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District 6

Texas

**Virginia F.M. Jans, Senior Vice President
and Regional Director, South Region**

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243

(972) 701-8554

(972) 716-7646 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Darla Bartkowiak	Amherst Securities Group, LP	Austin, TX
Frederick T. Greene	Raymond James Financial Services, Inc.	The Woodlands, TX
Wilson Williams	WFG Investments, Inc.	Dallas, TX

Alternate

Jane Bates	Global Financial Services, LLC	Houston, TX
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
Bryan T. Emerson	Starlight Investments, LLC	Houston, TX
Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX
Michael A. Pagano	1st Global Capital Corp.	Dallas, TX

Alternate

Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
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District 7

Georgia, North Carolina and South Carolina

Daniel J. Stefek, Associate Vice President and District Director (404) 239-6100
 One Securities Centre, Suite 500, 3490 Piedmont Road, NE (404) 237-9290 fax
 Atlanta, GA 30305

Florida, Puerto Rico, the Canal Zone and the Virgin Islands

Mitchell C. Atkins, Vice President and District Director (561) 443-8000
 Crystal Corporate Center, 2500 N. Military Trail, Suite 302 (561) 443-7995 fax
 Boca Raton, FL 33434

District Committee Members Elected to Term Expiring May 31, 2011

Richard K Bryant	Capital Investment Group, Inc.	Raleigh, NC
Matthew A. Guerrise	FMSBonds, Inc.	Boca Raton, FL
Raymond H. Smith, Jr.	Smith, Brown & Groover, Inc.	Macon, GA

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2009

Ruth A. Burgess	INVEST Financial Corp.	Tampa, FL
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Alternate

Caroline Wisniewski	Bridge Capital Associates, Inc.	Norcross, GA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Richard G. Averitt	Raymond James Financial Services, Inc.	St. Petersburg, FL
William G. McMaster	Scott & Stringfellow, Inc.	Columbia, NC
Charles F. O'Kelley	Atlantic Coast Securities Corporation	Tampa, FL
Kenneth W. McGrath	Popular Securities, Inc.	San Juan, PR
Alan L. Maxwell, Jr.	Wachovia Capital Markets, LLC	Charlotte, NC

Alternate

C. John O'Bryant III	Stifel, Nicolaus & Company, Incorporated	Raleigh, NC
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District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

**Carla A. Romano, Senior Vice President and Regional Director
Midwest Region**

(312) 899-4400
(312) 899-4399 fax

55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052

District Committee Members Elected to Terms Expiring May 31, 2011

Jeffrey F. Freiburger	Robert W. Baird & Co.	Milwaukee, WI
Edward A. Horwitz	Horwitz & Associates, Inc.	Riverwoods, IL
James P. Miller	SII Investments, Inc.	Appleton, WI

Alternate

Gary K. Moss	Stifel, Nicolaus & Company, Inc.	Indianapolis, IN
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Richard M. Arceci	ValMark Securities, Inc.	Akron, OH
Michael E. Bosway	City Securities Corporation	Indianapolis, IN
Mari Buechner	Coordinated Capital Securities, Inc.	Madison, WI
Ronald J. Dieckman	J.J.B. Hilliard, W.L. Lyons, Inc.	Louisville, KY
Thomas M. McDonald	Thomas McDonald Partners, LLC	Cleveland, OH

Alternate

Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL
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District 9

New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City)

Gary K. Liebowitz, Senior Vice President and Regional Director (732) 596-2025
North Region (732) 596-2001 fax
 581 Main Street, 7th Floor, Woodbridge, NJ 07095

Delaware, the District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia

Robert B. Kaplan, District Director (215) 963-1992
 1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-7442 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Nancy L. H. Boyd	Lincoln Investment Planning, Inc.	Wyncote, PA
Celeste Leonard	First Montauk Securities Corp.	Red Bank, NJ
Sarah McCafferty	T. Rowe Price Investment Services, Inc.	Baltimore, MD

Alternate

Kenneth I. Schindler	Prudential Investment Management Services, LLC	Iselin, NJ
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Michael T. Corrao	Knight Equity Markets, LP	Jersey City, NJ
A. Louis Denton	Petersen Investments, Inc.	Blue Bell, PA
Richard Grobman	Oppenheimer & Co. Inc.	Philadelphia, PA
John P. Meegan	Hefren-Tillotson, Inc.	Pittsburgh, PA
Stephen M. Youhn	Lincoln Financial Advisors Corporation	Philadelphia, PA

District 10

New York (the counties of Nassau and Suffolk, and the five boroughs of New York City)

Hans L. Reich, Senior Vice President and Regional Director (212) 858-4000
New York Region (212) 858-4078 fax
 One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006

District Committee Members Elected to Terms Expiring May 31, 2011

Cynthia Dowling	SEB Enskilda, Inc.	New York, NY
Eric L. Kriftcher	Banc of America Securities LLC	New York, NY
Thomas J. Santucci	Royal Alliance Associates, Inc.	Garden City, NY
David M. Sobel	Abel/Noser Corp.	New York, NY

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2010

James A. Brodie	Jesup & Lamont Securities Corp.	New York, NY
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Alternate

Vlad Uchenik	Safdie Investment Services Corp.	New York, NY
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

Lon T. Dolber	American Portfolios Financial Services	Holbrook, NY
Judith R. MacDonald	Rothschild Inc.	New York, NY
Howard R. Plotkin	Lehman Brothers Inc.	New York, NY
Clifford H. Goldman	Marco Polo Securities Inc.	New York, NY
Howard Spindel	Integrated Management Solutions USA LLC	New York, NY

Alternate

Shana Madoff	Bernard L. Madoff Investment Securities LLC	New York, NY
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District 11

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont

Frederick F. McDonald, Jr., District Director (617) 532-3401
 99 High Street, Suite 900, Boston, MA 02110 (617) 451-3524 fax

District Committee Members Elected to Terms Expiring May 31, 2011

Vincent M. Manzi	State Street Global Markets, LLC	Boston, MA
Victoria L. Olson	Prudential Annuities Distributors	Shelton, CT
Stephen L. Schardin	Charles River Brokerage, LLC	Burlington, MA

District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2010

David J. Freniere	LPL Financial Corporation	Boston, MA
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District Committee Member Elected to Serve the Remainder of a Term Expiring May 31, 2009

Edward J. Wiles, Jr.	Genworth Financial Securities Corp.	Stamford, CT
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Alternate

Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
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District Nominating Committee Members Elected to Terms Expiring May 31, 2009

David K. Booth	Jefferson Pilot Securities Corp.	Concord, NH
John I. Fitzgerald	Leerink Swann, LLC	Boston, MA
Joseph Gritzer	USI Securities, Inc.	Glastonbury, CT
Thomas Horack	Sun Life Financial Distributors	Wellesley Hills, MA
Curtis L. Snyder	American Technology Research, Inc.	Greenwich, CT