

Election Notice

District Elections

Nominees for the District Committees and District Nominating Committees

Executive Summary

This Election Notice announces the nominees for upcoming vacancies on the District Committees and the District Nominating Committees.¹ The individuals identified in this Notice have been nominated for the District Committees and District Nominating Committees, for terms beginning in June 2010. The term of office for District Committee members is three years, unless an individual is selected to complete an existing term.² Each District Nominating Committee member serves a one-year term. The length of the term of each nominee and the Committee for which they are being nominated are specified in Attachment A.

These nominees will be considered duly elected on March 26, 2010, to terms beginning June 1, 2010, unless an election is contested in accordance with the procedures summarized below.

Note: FINRA distributed this *Notice* electronically only to the executive representative of each member firm and it is posted on FINRA's Web site at www.finra.org/Notices/Election/021210. Executive representatives should circulate this Notice to their firm's branch managers.

Questions concerning this *Notice* may be directed to:

- The District Office contact noted in Attachment A;
- Marcia E. Asquith, Senior Vice President and Corporate Secretary, FINRA, at (202) 728-8949; or via email at CorporateSecretary@finra.org.

February 12, 2010

Suggested Routing

- Compliance
- Executive Representatives
- Legal
- Operations
- Registration
- Senior Management

Additional Candidates

If a person meets the qualifications, is eligible to serve,³ has not been nominated by a District Nominating Committee as a candidate or alternate, and wants to be considered for election to a District Committee or the District Nominating Committee, he or she must deliver a written notice to the district director or regional director within 14 calendar days of the date of this *Notice*—**February 26, 2010**.

Petition Process

If an additional candidate or candidates come forward by February 26, 2010, the Corporate Secretary will provide each such candidate with a list of firms eligible to vote in their district. The list will include the name of the executive representative and the mailing address for each firm.

To be considered for nomination, an additional candidate must submit a petition to the District Nominating Committee with signatures from at least 10 percent of executive representatives of firms eligible to vote in the district within 30 calendar days of receipt of the list of firms. If an additional candidate submits a petition with the requisite number of valid signatures by March 26, 2010, he or she will be considered nominated and the election will be contested.

Contested Election Procedures

If an election is contested, the Corporate Secretary of FINRA will send an *Election Notice* and ballot to the executive representatives of the FINRA firms eligible to vote in the district listing the names of the candidates nominated by the District Nominating Committee, the candidates who have petitioned to be on the ballot and the contested election procedures with instructions on how to vote.

Additional information pertaining to the district election procedures can be found in Article VIII of FINRA Regulation's By-Laws.

Endnotes

- 1 In addition to nominating a slate of candidates for each of these committees, each District Nominating Committee may nominate one alternate candidate for each committee. The nomination of alternate candidates is permitted under Section 8.17 of the By-Laws of FINRA Regulation. Attachment A identifies each District Nominating Committee's slate of nominees, plus alternate candidates (if any).
- 2 Some nominees are filling existing vacancies and therefore may serve less than a three-year term, as indicated on Attachment A.
- 3 To be eligible to serve, an individual must (1) be registered with a FINRA firm eligible to vote in the District for District Committee elections and (2) work primarily from such FINRA firm's principal office or a branch office that is located within the district where the member serves on a District Committee or District Nominating Committee. *See* Sections 8.2 or 8.9 of FINRA Regulation's By-Laws, as applicable.

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

Christian.Zrull@finra.org

One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 217-1100
(415) 956-1931 fax

District Nominating Committee Chair: Kevin T. Kitchin

- District Committee members to be elected to terms expiring May 31, 2013: 3
- District Committee member to be elected to a term expiring May 31, 2012: 1
- District Committee member to be elected to a term expiring May 31, 2011: 1

District Committee Nominees for Terms Expiring May 31, 2013

Joseph F. Helmer	Caldwell Securities, Incorporated	Sausalito, CA
Stephen C. Rogers	RFS Partners	San Francisco, CA
David G. McClurg	McClurg Capital Corporation	San Rafael, CA

District Committee Nominees for Terms Expiring May 31, 2012

Douglas C. Heske	Nollenberger Capital Partners, Inc.	San Francisco, CA
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District Committee Nominees for Terms Expiring May 31, 2011

Susan Katherine Campbell	Protected Investors of America	Oakland, CA
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Alternate Candidate

Peter A. Sigal	Charles Schwab & Co., Inc.	San Francisco, CA
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5

District Nominating Committee Nominees for Terms Expiring May 31, 2011

James H. Williams	Financial Telesis	San Rafael, CA
Leonard Berry	Backstrom McCarley Berry & Co., LLC	San Francisco, CA
Robert Angle	White Pacific Securities, Inc.	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	Santa Rosa, CA
Francis X. Roche, II	RBC Capital Markets Corp.	San Francisco, CA

Alternate Candidate

Kevin T. Kitchin	Wells Fargo Advisors, LLC	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

David.Greene@finra.org

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071-3126 (213) 613-2634
(213) 613-2601 Fax

District Nominating Committee Chair: Valorie A. Seyfert

- District Committee members to be elected to terms expiring May 31, 2013: 3

District Committee Nominees for Terms Expiring May 31, 2013

Bardea C. Huppert	Farmers Financial Solutions, LLC	Agoura Hills, CA
Timothy U. Morton	WBB Securities, LLC	San Diego, CA
Maureen M. Maloney	Grubb & Ellis Securities, Inc.	Santa Ana, CA

Alternate Candidate

Cynthia M. Aragon	FAT Securities, LLC	West Hollywood, CA
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5

District Nominating Committee Nominees for Terms Expiring May 31, 2011

M. LaRae Bakerink	WBB Securities, LLC	San Diego, CA
Steven K. Klein	Farmers Financial Solutions, LLC	Agoura Hills, CA
Craig Watanabe	United Planners	Pasadena, CA
Ismael Manzanares, Jr.	Higgins Capital Management, Inc.	San Diego, CA
Kevin K. Hull	Grubb & Ellis Securities, Inc.	Santa Ana, CA

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

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

Joseph.McCarthy@finra.org

4600 S. Syracuse Street, Suite 1400, Denver, CO 80237

(303) 446-3100

(303) 620-9450 fax

Alaska, Idaho, Montana, Oregon and Washington

Gerald J. Dougherty, Deputy Director

Gerald.Dougherty@finra.org

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

(206) 624-0790

(206) 623-2518 fax

District Nominating Committee Chair: Russell R. Diachok

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

Robert B. Joki	ING Financial Partners, Inc.	Mountlake Terrace, WA
Alfred P. Reeves, III	Affiliated Funding & Europa Securities	Denver, CO
Edward K. Riley	E.K. Riley Investments, LLC	Seattle, WA

Alternate Candidate

Daniel E. Wright	Jackson National Life	Denver, CO
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Russell R. Diachok	Geneos Wealth Management, Inc.	Centennial, CO
David J. Director	McAdams Wright Ragen, Inc.	Seattle, WA
Chester J. Hebert	Colorado Financial Service Corp.	Centennial, CO
Steven S. Iversen	Foothill Securities, Inc.	Albuquerque, NM
Douglas W. Schriener	Harrison Douglas, Inc.	Aurora, CO

Alternate Candidate

Jodee Brubaker-Rager	Geneos Wealth Management, Inc.	Centennial, CO
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District 4

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

Thomas D. Clough, Associate Vice President and District Director

Tom.Clough@finra.org

120 W. 12th Street, Suite 800, Kansas City, MO 64105

(816) 421-5700

(816) 421-5029 fax

District Nominating Committee Chair: Patricia Bartholomew

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

William Yates	TD Ameritrade Clearing, Inc.	Bellevue, NE
Craig Markham	Walnut Street Securities, Inc.	St. Louis, MO
Allen Cole	Benjamin F. Edwards & Company, Inc.	Clayton, MO

Alternate Candidate

Michael Lenzmeier	Agency Trading Group, Inc.	Wayzata, MN
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Richard Link	Edward Jones	St. Louis, MO
Robert E. Hillard	Arlington Securities, Inc.	St. Louis, MO
Timothy Lyle	Broker-Dealer Financial Services Corp.	Johnston, IA
Andrew Small	Scottrade, Inc.	St. Louis, MO
Patricia Bartholomew	Craig-Hallum Capital Group LLC	Minneapolis, MN

District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

Keith.Hinrichs@finra.org

1100 Poydras Street, Energy Centre, Suite 850 New Orleans, LA 70163-0802

(504) 522-6527

(504) 522-4077 fax

District Nominating Committee Chair: J. French Hill

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

James D. Alger	Delta Trust Investments, Inc.	Little Rock, AR
Martin F. Shea, Jr.	Vining Sparks IBG, LP	Memphis, TN
Raymond A. Thompson	Dorsey & Company, Inc.	New Orleans, LA

Alternate Candidate

J. David Coker	Coker & Palmer	Jackson, MS
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

J. French Hill	Delta Trust Investments, Inc.	Little Rock, AR
Philip J. Dorsey	Dorsey & Company, Inc.	New Orleans, LA
James T. Ritt	Morgan Keegan & Co., Inc.	Memphis, TN
Tom R. Steele	Equitable Advisors, Inc.	Nashville, TN
Gary K. Wunderlich, Jr.	Wunderlich Securities, Inc.	Memphis, TN

Alternate Candidate

Robert Keenan	St. Bernard Financial Services, Inc.	Russellville, AR
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District 6

Texas

Michael G. Rufino, Senior Vice President

Michael.Rufino@finra.org

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

(972) 701-8554

(972) 716-7646 fax

District Nominating Committee Chair: Bryan T. Emerson

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

John P. Dennis, III	Woodrock Securities, L.P.	Houston, TX
Robert A. Estrada	Estrada Hinojosa & Company, Inc.	Dallas, TX
Jacob D. Palmer	SWBC Investment Services, LLC	San Antonio, TX

District Committee Nominees for Terms Expiring May 31, 2012

Daniel C. Dooley	Maplewood Investment Advisors, Inc.	Dallas, TX
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Alternate Candidate

Terry R. Pender	Raymond James Financial Services, Inc.	Plano, TX
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
Kennard (Ken) R. George	VSR Financial Services, Inc.	Dripping Springs, TX
Alan K. Goldfarb	Weaver Tidwell Capital, LLC.	Dallas, TX
Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
Fenner R. Weller, Jr.	Weller Anderson & Company, Ltd	Houston, TX

Alternate Candidate

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

Daniel.Stefek@finra.org

One Securities Centre, Suite 500, 3490 Piedmont Road, NE, Atlanta, GA 30305
(404) 239-6100
(404) 237-9290 fax

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

Mitchell C. Atkins, Vice President and District Director

Mitch.Atkins@finra.org

Crystal Corporate Center 2500 N. Military Trail, Suite 302, Boca Raton, FL 33431
(561) 443-8000
(561) 443-7995 fax

District Nominating Committee Chair: Charles F. O'Kelley

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

Leopold E. Guzman	Guzman & Company	Coral Gables, FL
W. Lawrence Key	Wells Fargo Advisors, LLC	Charlotte, NC
John T. Rhett, III	SunTrust Investment Services, Inc.	Atlanta, GA

Alternate Candidate

Michael S. Hill	Summit Brokerage Services	Boca Raton, FL
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Jed E. Bades	Mutual Trust Co. of America Securities	Clearwater, FL
Susan J. Hechtlinger	SunTrust Investment Services, Inc.	Atlanta, GA
Landrum H. Henderson	Robert W. Baird & Co., Inc.	Charlotte, NC
Alan L. Maxwell	Wells Fargo Securities, LLC	Charlotte, NC
James A. Klotz	FMSBonds, Inc.	Boca Raton, FL

District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

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

Carla.Romano@finra.org

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

(312) 899-4400

(312) 899-4399 fax

District Nominating Committee Chair: Richard M. Arceci

- District Committee members to be elected to terms expiring May 31, 2013: 3

District Committee Nominees for Terms Expiring May 31, 2013

Jeffrey V. Gery	Lincoln Financial Advisors Corporation	Fort Wayne, Indiana
Phillip E. Gutman, Jr.	William Blair & Company, LLC	Chicago, Illinois
Nicholas A. Filing	OneAmerica Securities, Inc.	Indianapolis, Indiana

Alternate Candidate

Debra DeVoe	SunGard Institutional Brokerage, Inc.	Lombard, Illinois
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Joel Blumenschein	Freedom Investors Corp.	Brookfield, Wisconsin
Earl Clifford Oberlin, III	NRP Financial, Inc.	Bryan, Ohio
James M. Rogers	JJB Hilliard, WL Lyons LLC	Louisville, Kentucky
Barbara A. Turner	The O.N. Equity Sales Company	Cincinnati, Ohio
Julie E. Vander Weele	Mesirow Financial, Inc.	Chicago, Illinois

Alternate Candidate

Carol Foley	Podesta & Company	Chicago, Illinois
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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, North Region

Gary.Liebowitz@finra.org

581 Main Street, 7th Floor, Woodbridge, NJ 07095

(732) 596-2025

(732) 596-2001 fax

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

Robert B. Kaplan, Vice President and District Director

Robert.Kaplan@finra.org

1835 Market Street, Suite 1900, Philadelphia, PA 19103

(215) 963-1992

(215) 963-7442 fax

District Nominating Committee Chair: John P. Meegan

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

Michael Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Greg Plifka	RBC Capital Markets Corporation	Parsippany, NJ
Craig Tillotson	Hefren-Tillotson, Inc	Wexford, PA

Alternate Candidate

Andrew Shainberg	Pruco Securities, LLC	Newark, NJ
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Wayne Holly	Sage Ruddy & Co.	Rochester, NY
John Ivan	Janney Montgomery Scott, LLC	Philadelphia, PA
Michael Row	Pershing, LLC	Jersey City, NJ
Richard Seelaus	R. Seelaus & Co., Inc.	Summit, NJ
Thomas Wallace	Johnston, Lemon & Co., Incorporated	Washington, DC

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, New York Region

Hans.Reich@finra.org

One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006 (212) 858-4000
(212) 858-4078 fax

District Nominating Committee Chair: Allen Meyer

- District Committee members to be elected to terms expiring May 31, 2013: 4
 - District Committee members to be elected to terms expiring May 31, 2012: 2
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District Committee Nominees for Terms Expiring May 31, 2013

Gordon Charlop	Rosenblatt Securities, Inc.	New York, NY
Carl K. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Alfred Petrillo	Jefferies Execution Services, Inc.	New York, NY
Richard A. Sorrentino	Collins Stewart LLC	New York, NY

District Committee Nominees for Terms Expiring May 31, 2012

Robert Hackel	R.F. Lafferty & Co., Inc.	New York, NY
George Mandl	Mitsubishi UFJ Securities (USA) Inc.	New York, NY

Alternate Candidate

Andrew Collier	BOC International (USA) Inc.	New York, NY
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

James A. Brodie	Dinosaur Securities, LLC	New York, NY
Kathryn G. Casparian	CIBC World Markets Corp.	New York, NY
Paul S. Ehrenstein	Zenith American Securities Corp.	New York, NY
James D. Lamke	Sanford C. Bernstein & Co. Inc.	New York, NY
Tom M. Wirtshafter	American Portfolios Financial Services, Inc.	

Alternate Candidate

Raymond C. Holland, Sr.	Triad Securities Corp.	New York, NY
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District 11

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

Elizabeth F. Page, District Director

Elizabeth.Page@finra.org

99 High Street, Suite 900, Boston MA 02110

(617) 532-3401

(617) 451-3524 fax

District Nominating Committee Chair: Joseph Gritzer

- District Committee members to be elected to terms expiring May 31, 2013: 3
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District Committee Nominees for Terms Expiring May 31, 2013

Norman L. Ashkenas	Fidelity Brokerage Services	Marlborough, MA
Jonathan Goldstein	Greenwich Prime Trading Group, LLC	Stamford, CT
Lawrence F. McIntosh	USI Securities, Inc.	Glastonbury, CT

Alternate Candidate

John S. McPhee	Leerink Swann LLC	Boston, MA
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- District Nominating Committee members to be elected to terms expiring May 31, 2011: 5
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District Nominating Committee Nominees for Terms Expiring May 31, 2011

Michael Callaghan	Harvest Capital LLC	Wethersfield, CT
David J. Freniere	LPL Financial Corporation	Boston, MA
Moirá C. Lowe	Phoenix Equity Planning Corp.	Hartford, CT
Tina Blakeley Maloney	Winslow, Evans & Crocker, Inc.	Boston, MA
Robert J. Reilly	UBS Securities, LLC	Boston, MA

Alternate Candidate

Martin W. Courage	Barclays Capital Inc.	Boston, MA
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