

Election Notice

FINRA Announces Results of the Small Firm Advisory Board and District Committee Elections

Executive Summary

FINRA recently concluded elections to fill vacant seats on the Small Firm Advisory Board (SFAB) and District Committees. This *Notice* lists the individuals elected to fill vacant seats on the SFAB and those elected and appointed to District Committees for terms beginning January 1, 2012.

Questions concerning this *Election Notice* may be directed to:

- ▶ Marcia Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949; or
- ▶ Chip Jones, Senior Vice President, Member Relations, at (240) 386-4797.

Small Firm Advisory Board Election Results

FINRA small firms in the Midwest and South Regions elected the following individuals to fill open seats on the SFAB:

South Region

David W. Wiley, III, Wiley Bros.—Aintree Capital, LLC

Midwest Region

Eric A. Bederman Bernardi Securities, Inc.

The elected individuals will serve a three-year term beginning January 1, 2012.

November 29, 2011

Suggested Routing

- ▶ Executive Representative
- ▶ Senior Management

District Committees

The following individuals were elected or appointed¹ to serve on FINRA District committees and will serve three-year terms beginning January 1, 2012.

District 1:

Small Firm Representative:	Alan Carlisle, Hanson McClain
Mid-Size Firm Representative:	Stephen Chipman, Foothill Securities, Inc.
Large Firm Representative:	Bill Hatcher, Wells Fargo Advisors, LLC

District 2:

Small Firm Representative:	Cynthia Aragon, WestPark Capital, Inc.
Mid-Size Firm Representative:	Houston A. Goddard, Girard Securities, Inc.
Large Firm Representative:	Kathleen D. VanNoy-Pineda, LPL Financial

District 3:

Small Firm Representative:	Chester Hebert, Colorado Financial Service Corporation
Mid-Size Firm Representative:	Jodee Brubaker-Rager, Geneos Wealth Management
Large Firm Representative:	Lance Wells, Metropolitan Life Insurance Company

District 4:

Small Firm Representative:	J. Daniel Stepp, Central States Capital Markets, LLC
Mid-Size Firm Representative:	Chad Estep, Century Securities Associates, Inc.
Large Firm Representative:	Terry L. Lister, Waddell & Reed, Inc.

District 5:

Small Firm Representative:	Carolyn May, Simmons First Investment Group, Inc.
Mid-Size Firm Representative:	Rush F. Harding III, Crews & Associates, Inc.
Large Firm Representative:	Patrick Dogan, Sterne, Agee & Leach, Inc.

District 6:

Small Firm Representative:	Darla K. Bartkowiak, Amherst Securities Group, LP
Mid-Size Firm Representative:	David W. Stringer, Prospera Financial Services, Inc.
Large Firm Representative:	Christine L. Staib, LPL Financial

District 7:

Small Firm Representative: Jim R. Webb, Cape Securities Inc.

Mid-Size Firm Representative: Brian Kovack, Esq., Kovack Securities, Inc.

Large Firm Representative: Ken Muraoka, FSC Securities

District 8:

Small Firm Representative: Gina Bokios, Regal Securities, Inc.

Mid-Size Firm Representative: Lynn Goebel, ValMark Securities, Inc.

Large Firm Representative: Erwin J. Dugasz, Jr., Nationwide Investment Services Corporation

District 9:

Small Firm Representative: Victoria Bach-Fink, Wall Street Financial Group, Inc.

Mid-Size Firm Representative: Robert Dow, Lord Abbett Distributor

Large Firm Representative: Nancy L. Heffner, Lincoln Investment Planning, Inc.

District 10:

Small Firm Representatives: Myles J. Edwards, Constellation Wealth Advisors LLC
David M. Sobel, Esq., Abel/Noser Corp.

Mid-Size Firm Representative: Rebecca Ebert, Sandler O'Neill

Large Firm Representatives: Joseph Neary, Royal Alliance Associates, Inc.
Douglas G. Preston, Merrill Lynch, Pierce, Fenner & Smith, Incorporated

District 11:

Small Firm Representative: John I. Fitzgerald, Leerink Swann LLC

Mid-Size Firm Representative: Steve Buff, Columbia Management

Large Firm Representative: Paul J. Tolley, Commonwealth Financial Network

Endnote

1. Pursuant to FINRA By-laws, FINRA appoints a representative to fill an open seat if no candidate self-nominates to run for an open seat.