

# Election Notice

## FINRA Announces Results of SFAB, NAC and District Committee Elections

### Executive Summary

FINRA recently concluded elections to fill vacant seats on the Small Firm Advisory Board (SFAB), National Adjudicatory Council (NAC) and District Committees. Additionally, a number of individuals were appointed to fill vacancies on the SFAB, NAC and District Committees. This *Notice* lists the individuals elected and appointed to those seats for terms beginning January 1, 2014.

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

- ▶ Marcia Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949; or
- ▶ Jennifer Piorko Mitchell, Assistant Corporate Secretary, at (202) 728-8949.

### Small Firm Advisory Board Election Results

FINRA small firms in the New York Region elected the following individual to fill an open seat on the SFAB:

#### **New York Region Representative**

- ▶ **Steve Hart**, CCO, Robotti & Company, LLC

The FINRA Board also appointed the following individual as an At-Large SFAB Member:

- ▶ **Betsy Brennen**, Managing Partner and Chief Compliance Officer, Harbor Investment Advisory, LLC

Both Mr. Hart and Ms. Brennen will serve a three-year term beginning January 1, 2014.

**December 17, 2013**

#### Suggested Routing

- ▶ Executive Representative
- ▶ Senior Management

## National Adjudicatory Council

The following individuals were appointed<sup>1</sup> to fill seats on the NAC for a term beginning January 1, 2014.

### Mid-Size Firm NAC Member

**John R. Muschalek** Managing Director, First Southwest Company

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### Large Firm NAC Member

**Claire H. Santaniello** Chief Administrative Officer, Pershing, LLC

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### At-Large Industry NAC Member

**John Polanin, Jr.** Executive Director and Head of Compliance for the Americas, Macquarie Group Limited

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### Non-Industry NAC Member

**James E. Burton** Partner, California Strategies, LLC

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## District Committees

The following individuals were elected or appointed to serve on FINRA District Committees and will serve three-year terms (unless noted below) beginning January 1, 2014.

### District 1

- ▶ Small Firm Representative **Robert Muh**, CEO, Sutter Securities, Inc.
  - ▶ Small Firm Representative (1-year term) **Adrian E. Dollard**, Chief Operating Officer, Qatalyst Partners
  - ▶ Large Firm Representative **James Williams**, President and Owner, Financial Telesis, Inc.
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### District 2

- ▶ Small Firm Representative **Sandy Pappalardo**, Chief Operating Officer/Chief Compliance Officer/FINOP, Ptoplava Securities, Inc.
  - ▶ Mid-Size Firm Representative (1-year term) **Susan Woltman Tietjen**, CEO, Girard Securities, Inc.
  - ▶ Large Firm Representative **Mark Quinn**, Chief Risk Officer, First Allied Securities, Inc.
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**District 3**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**Alexis Vanden Bos**, CCO, E.K. Riley Investments, LLC

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**Bernard A. Breton**, VP & Chief Compliance Officer,  
Cetera Advisors LLC

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**District 4**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**Robert L. (Bob) Hamman**, President/CCO,  
First Asset Financial, Inc.

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**Robert T. Mooney**, Chief Compliance Officer,  
Wells Fargo Advisors, LLC

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**District 5**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**John L. Terry, III**, President/CEO, High Street Securities, Inc.

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**Mayo Woodward**, Branch Manager, Ameriprise Financial  
Services, Inc.

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**District 6**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**Ed Balsmann**, Chief Compliance Officer, Tudor, Pickering,  
Holt & Co. Securities, Inc.

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**Christopher Barton**, Executive Director/Complex Manager,  
Morgan Stanley

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**District 7**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**David Weinberger**, President/CFO/FINOP,  
CBG Financial Group, Inc.

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**Ken Bell**, Vice President, Audit, Cetera Advisor Networks

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**District 8**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**Lisa L. Lauria**, Co-CCO & Operations Manager,  
Thurston Springer Miller Herd & Titak, Inc.

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**William Hayden**, Chief Compliance Officer,  
Keybank Capital Markets, Inc.

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**District 9**

- ▶ Small Firm Representative
- ▶ Large Firm Representative

**Peter M. Elish**, President, Peter Elish Investments Securities

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**Michael J. Carroll**, Regional President, Wells Fargo  
Advisors, LLC.

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**District 10**

- ▶ Small Firm Representative **Lew Breckenridge**, Chief Compliance Officer, KKR Capital Markets

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- ▶ Small Firm Representative **Nina J. Ihnken**, Vice President – Compliance, Abel/Noser Corp.

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- ▶ Large Firm Representative **Tracy Calder**, Managing Director, JP Morgan Chase & Co.

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- ▶ Large Firm Representative **Samuel Turvey**, Chief Compliance Officer, TIAA-CREF

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- ▶ Large Firm Representative (2-year term) **Andrew Weinberg**, Managing Director & Head of Regulatory Compliance & Assessment, Deutsche Bank Securities

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**District 11**

- ▶ Small Firm Representative **Jennifer Hoopes**, General Counsel, Funds Distributor, LLC

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- ▶ Large Firm Representative **Norman L. Ashkenas**, SVP, Chief Compliance Officer, Fidelity Brokerage Services, LLC

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**Endnote**

1. The Mid-Size NAC Member and Large Firm NAC Member were nominated by the Nominating Committee in July 2013 and their nominations were not contested.