

West Region Seat Candidates

- > **Gilbert J. Addeo** Chief Operating Officer, Investment Placement Group
(San Diego, CA)
- > **Paige W. Pierce** President & CEO, RW Smith & Associates, LLC
(Sandy, UT)
- > **Steven L. Thornton** Principal & FINOP, WBB Securities, LLC
(San Diego, CA)

Candidate Profile Form — SFAB Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

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Steven L. Thornton

Steven L. Thornton has been the Financial and Operations Principal for WBB Securities since Jun 1, 2011. Mr. Thornton is also currently registered with 23 other broker dealers as a FinOp or a registered principal.

In addition to Mr. Thornton's responsibilities as the FinOp for WBB Securities, Mr. Thornton is the President of Thornton & Associates, LLC. He is responsible for the general operations, consulting and FINOP services provided by the firm. Mr. Thornton has over 20 years of securities compliance, auditing and accounting experience. He specializes in the areas of trading and market making, net capital regulation, general accounting practices, online and day trading operations, Anti-Money Laundering, FINRA New Member Applications and Continuance in Membership Applications. Mr. Thornton has extensive experience with SEC, NASD, FINRA and MSRB rules and regulations. Mr. Thornton also maintains the Series 7 (general securities representative), Series 24 (general securities principal), Series 55 (equity trader), Series 79 (investment banking), Series 28 (financial and operations principal) and Series 99 licenses. Over the last 10 years, Mr. Thornton has been registered with over 50 broker dealers as a Financial and Operations Principal as well as a General Securities Principal.

As a consultant, Mr. Thornton has filed and completed over 30 NASD/FINRA New Member Applications, conducted over 100 anti-money laundering audits, completed over 75 NASD/FINRA 1017 Continuance in Membership Applications and has guided clients through over 150 FINRA, SEC, and state regulatory audits and examinations. Mr. Thornton has served on the FINRA District 2 Committee and is on the Board of Directors for the National Association of Independent Broker Dealers.

Prior to forming Thornton & Associates, LLC, Mr. Thornton worked for 3 years at the National Association of Securities Dealers (NASD Regulation, Inc.). He received national recognition as the recipient of the prestigious NASD President's Award that recognizes outstanding service as a securities examiner.

In 2009, Mr. Thornton was elected to the FINRA District 2 Committee. Mr. Thornton has also held positions in accounting and finance with Pacific Holding Company and May Department Stores.

Mr. Thornton served in the United States Marine Corps as an infantryman from 1989 – 1995 and is a veteran of Operation Desert Shield/Storm.

After his military service, Mr. Thornton received his Bachelor of Science Degree from California State University, Northridge with a major in Finance. He currently speaks at compliance seminars for securities compliance professionals, and has been a guest speaker on the KNX 1070 Business Hour radio show. Mr. Thornton has also testified in Orange County Superior Court as an expert witness regarding issues relating to sales practice violations, investment advisor and broker dealer registration, suitability, and the implementation of supervisory systems.