

Candidate Profile — District Committee Election

Candidate Name: Carrie Fleisher

Title: Vice President: Chief Risk & Compliance Officer

Firm: M Holdings Securities, Inc.

Candidate Biography and Personal Statement

Candidate Biography:

Carrie Fleisher is a Vice President of M Financial Group with her primary role focused on the activities of M Holdings Securities, Inc. ("M Securities"), a registered Broker/Dealer and Registered Investment Adviser that is a wholly owned subsidiary of M Financial Group. In her role with M Securities, Carrie serves as Vice President, Chief Risk & Compliance Officer responsible for all risk, compliance, legal and regulatory activities for the firm.

Carrie has served the financial services industry for 28 years. Prior to joining M Financial in 2002, Carrie held positions at a variety of financial services firms including self-clearing, bank-brokerage, discount brokerage, full service and independent.

Carrie holds the FINRA Series 7, 63, 24, 53, and 4 licenses, in addition to being insurance licensed. Carrie also holds the Certified Registered Compliance Professional (CRCP) designation through the FINRA Institute at Wharton Business School. Carrie is an active advocate of the industry through her involvement with the Financial Services Institute (FSI) and The Association for Advanced Life Underwriting (AALU). Carrie serves as the Chair of the AALU Regulatory Reform Committee and AALU Regulatory Task Force, is a participant on AALU's Nominating Committee, and FSI's Cybersecurity Task Force.

Personal Statement:

Through the opportunities I have experienced in my various roles in the industry, whether sales, marketing, operations or compliance, I have gained an appreciation and understanding of the important client needs met by virtually all types of Broker/Dealers and Registered Investment Advisers. I also have deep respect for the importance of collaboration with our industry's regulatory stewards. As a District Committee representative I would seek to listen to and communicate the ideas and concerns of my industry colleagues and strive to enhance the health of our industry through sharing my experiences. Further, I would look to serve as a resource to properly balance friendly and consumer protecting points of view as regulatory processes are considered for updates or revisions.

As an active financial services advocate, I would work to make sure our collective voices are heard and understood. At the same time, I would work positively with our regulators to protect the interests of all our constituents. I would be honored to have your support and vote, and promise to earn it.

Thank you.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Chris Rock Ishii

Title: Managing Director/Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

Chris is the Complex Manager of Morgan Stanley's Bellevue Complex. The Bellevue Complex includes two Bellevue branches as well ten branch locations in Montana, Wyoming, Idaho, Alaska and Eastern Washington.

Prior to his appointment as Complex Manager in October of 2009, Chris was the Branch Manager of Smith Barney's Seattle office at Two Union Square from July 2004 to October 2009. From May 2001 to July 2004, he was the Branch Manager in Honolulu, Hawaii, and had oversight of Smith Barney's operations in Honolulu and Guam. He served as Manager in the Tacoma, Washington, branch from March 1998 to May of 2001, as well as in Kennewick, Washington, from March of 1996 to March of 1998. He was the sales manager in Seattle from October of 1995 to March of 1996.

Chris has been in the financial services industry since 1981. He was recruited from a competitor as a financial consultant and focused his practice on retirement planning and portfolio management.

Chris received his degree in Economics from the University of Washington in 1980 and is currently involved in various community activities and charities. His past activities include an appointment by then Governor Christine Gregoire to serve on the State of Washington's Securities Advisory Committee from 2009-2011.

Optional Links:

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Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Alexis Wherry

Title: VP, Regulatory Affairs, AIG Advisor Group

Firm: Sage Point Financial

Candidate Biography and Personal Statement

Biography

Since graduating from Arizona State University, I have been working in the financial services field. I began my career over 17 years ago in 1998 at The Vanguard Group. I have held many different positions within compliance, including Branch Examiner, OSJ Manager, Corporate Trainer, AML Officer and Deputy CCO. In my current role, I am responsible for three different areas of AIG Advisor Group's Network Compliance department. These departments are the Advertising Compliance team, the Compliance Programs and Operations team and the recently created Regulatory Affairs team. I was responsible for staffing and building the Regulatory Affairs team which handles all firm level and high profile exams for the five broker-dealers associated with AIG Advisor Group; Sage Point Financial in Phoenix, Arizona, FSC Securities Corporation (Atlanta GA), Royal Alliance Associates (NYC), Inc., Woodbury Financial Services (MN) and VALIC Financial Advisors (Houston, TX). Since its creation in early 2014, the Regulatory Affairs group has handled approximately 80 regulatory exams/inquiries.

Personal Statement

Working closely with FINRA, the SEC and state regulators has given me the opportunity to build relationships with the regulatory staff, and to understand the importance of not only listening and understanding what our regulators say but to be able to clearly articulate the firms' concerns and opinions regarding any new or proposed rules or initiatives.

I believe my knowledge and experience will allow me to speak on behalf of all firms within District Three. I am able to approach new regulations and challenging issues from both the regulatory side as well as from the firms' point of view. I appreciate the opportunity to be considered as a member of this committee and to positively contribute towards its success and growth in the future.

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Link to YouTube video: _____