

Candidate Profile — District Committee Election

Candidate Name: PAIGE W. PIERCE

Title: PRESIDENT & CEO

Firm: RW SMITH & ASSOCIATES, LLC

Candidate Biography and Personal Statement

Paige W. Pierce brings over 30 years of senior level investment industry experience with small firms and major corporate entities in the North American capital markets to RW Smith. Paige has extensive trading and sales, compliance, operational, business and product development, as well as strategic partner development experience both domestically and internationally. In her current position she oversees the growth and strategy of the firm, works closely with industry regulators while maintaining a singular focus of bringing the small firm perspective to every meeting and rule proposal debate, and continues to focus on ensuring small firms and their customers have access to information flow, extended distribution networks, price transparency and the wholesale market.

Paige was elected to represent the Small Firm sector of the investment industry, currently over 3600 firms, on the Financial Industry Regulatory Authority's National Adjudicatory Council, which is the appellate court for regulatory actions brought by FINRA against members and member firms within the investment industry, as well as membership application reviews. Paige is well known on the NAC for her passionate advocacy on behalf of industry member concerns and issues, especially small firms' issues.

Paige actively serves as a member of the Securities Industry and Financial Markets Association Small Firms Advisory Committee, Municipal Executive Steering Committee (Elected 2008-11, 2015), Municipal Broker's Broker Committee (Chair 2008-11, 2015), and the Emergency Markets & Calendar Committee. In 2008, she was elected to serve a 3-year term on the FINRA District 3 Committee (Chair 2010-11) and currently serves on the FINRA Fixed Income Committee. She serves as hearing panelist for cases brought by or through FINRA and is a frequent speaker at industry events. (Next event: FINRA Small Firm Conference in November 2015.)

Paige co-founded the Women in the Investment Industry PSA group, is a member of the Utah Chapter of the World Presidents' Organization and previously held both the Network Chair position of the Utah Chapter of the Young Presidents' Organization (2011-13) and the position of Chair of the YPO Pacific Region Women's International Network (2007-09). She is currently on the YPO Advisory Board with Stanford University and has represented the Small Firm sector of the investment industry in meetings with prior Chairmen of the Federal Reserve, members of Congress and SEC Commissioners.

In 2008, Paige was appointed by the United States Air Force 388th Fighter Wing as Honorary Commander at Hill Air Force Base in Utah and serves to this day with pride. She is also currently on the Board of Directors for RW Smith, the Municipal Bond Information Services (MBIS) and the National Association of Broker Dealers (NABD).

I hope to have the opportunity to serve on your behalf on the District Committee, so that I can share the real life scenarios & daily challenges of small firms with FINRA staff and officers. PLEASE VOTE FOR ME! Thank you.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Joanne M. Salisbury

Title: Chief Compliance Officer

Firm: EK Riley Investments, LLC

Candidate Biography and Personal Statement

Personal Statement:

After having worked with the investment community for over 30 years I feel that it's important for me to become more actively involved with FINRA. I am passionate about the work we do, acting as stewards of the trust that the investing public places in the firms we lead, and I look forward to the opportunity to support that same passion in others. I feel that my range of experience and perspective allows me to bring a knowledgeable, thoughtful and broad point of view to the FINRA District Committee.

Bio:

Joanne M. Salisbury, FLMI, AIRC, is a progressive and proven leader who in the past 30 years has held executive positions as President, Chief Compliance Officer, Chief Financial Officer and Chief Operating Officer at a variety of firms including full-service, online, self-clearing, fully-disclosed and insurance-affiliated BDs and RIAs.

She believes that organizational and risk-management strategies must be effective and adaptable and that they must be applied with a common sense that allows representatives, advisors and staff to do their jobs. Joanne enjoys driving business value and achieving results while promoting efficiency, developing and delivering education and, designing surveillance and support programs that really work.

Securities registrations and designations:

7, 63, 24, 27, 65, 53, 55, 4, 99

FLMI, Fellow, Life Management Institute

AIRC, Associate, Insurance Regulatory Compliance

Joanne Salisbury has also been a member of the Financial Services Institute, the Wood's Creek Executive Peer Group and NACHA. She was past-president of the Northwest Securities Management Association, sat on Broker/Dealer Committee for LIMRA/LOMA and currently participates in the Seattle RIA CCO Round Table.

She frequently enjoys speaking on compliance matters at a variety of venues and, is an active volunteer with ArtsFund (formerly Puget Sound Council of the Arts) and Hopelink.

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Link to personal website, resume or CV: _____

Link to YouTube video: _____