

Candidate Profile — District Committee Election

Candidate Name: Don Runkle

Title: Regulatory Compliance Director

Firm:

Candidate Biography and Personal Statement

Don Runkle is the Regulatory Compliance Director for Coordinated Capital Securities, Inc. In his role with CCS, Don helps to ensure that the firm has appropriate processes and procedures to exceed all regulatory requirements and manage risks in an efficient and effective fashion. He also assists with the execution of all procedures as necessary, including support functions in examinations, regulatory inquiries, customer complaints, options activities, municipal bond activities, new and ongoing product reviews, suitability analyses, and general operational and compliance functions. Don also serves as the Director of Consulting Services at Edgerton and Weaver, LLC. Don works with the firm's staff to help broker-dealers, investment advisers, and registered representatives develop, implement, and execute strategies to mitigate or eliminate their litigation and regulatory risks.

Prior to joining Coordinated Capital Securities, Don was the Chief Compliance Officer for Raymond James Financial Services, Inc., in St. Petersburg, Florida. He has over 23 years of experience in the financial services industry, having worked as a financial advisor and in several compliance-related roles.

Don has been an active leader in numerous industry associations and regulatory committees. He currently serves on the FINRA Membership Committee, and he was previously elected to two terms on the FINRA District 7 Committee. He has also served on the FINRA Regulatory Advisory Committee, the SIFMA Compliance and Regulatory Policy Committee, the FSI Compliance Council, and the SIFMA Compliance and Legal Society's Regional Firms Committee. Previous industry involvement also includes the FINRA Compliance Resources and Education Committee, the FINRA Books and Records Task Force, the NASD Licensing and Registrations Council, the SIFMA Self-Regulations and Supervisory Practices Committee, the SIFMA State Regulation and Legislation Committee, and the IAFP Compliance Advisory Council.

He holds numerous industry licenses, including the Series 7, 24, 53, 4, 63, 65, and previously obtained the Florida Life and Health insurance license. He also completed the Securities Industry Institute at the University of Pennsylvania Wharton School in 2004, and he has been a FINRA arbitrator since 1998.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Carrie Wisniewski

Title: President

Firm: Bridge Capital Associates, Inc.

Candidate Biography and Personal Statement

Carrie Wisniewski has over 30 years of securities industry experience and maintain numerous FINRA licenses including 4, 7, 27, 28, 53, 63, 79 and 99. She has earned her MBA degree in Finance and holds numerous industry designation including Certified Fraud Examiner, Certified Financial Crimes Specialist, Certified Regulatory Compliance Professional, Certified Securities Compliance Professional, Certified Mergers & Acquisitions Advisor and Certified Financial Planner.

Carrie has been a small business executive since leaving her position as a Senior Examiner at FINRA in 1994. At that time she founded B/D Compliance Associates, Inc. and began offering regulatory compliance consulting services to small broker/dealers and register investment advisory firms. In 2007 she founded Bridge Capital Associates, Inc., an independent contractor model FINRA member specializing in investment banking and M&A transactions.

Carrie's career in the securities industry began in 1985 as a registered representatives. A few years later she joined the compliance department of Merrill Lynch. She was then employed by the Atlanta District Office of FINRA as a Senior Compliance Examiner. Carrie is a former board member of the National Association of Independent Broker/Dealers and is a current member of the National Society of Compliance Professionals, where she serves on the Small Broker/Dealer Sub-Committee. She previously served on the District 7 Committee where she was a vocal opponent of any regulation that would not serve to increase investor protection.

Ms. Wisniewski has proven herself to be an executive with problem solving skills that result in win-win outcomes. Her experiences as both a registered representative and as a regulator have empowered her with keen insight into the unique issues of running a for-profit broker/dealer within an intensely regulated industry. Carrie's primary goal as a member of the District 7 Committee is to help restore the relationship between small member firms and FINRA to one of mutual respect, trust and integrity. She is also passionate about limiting regulations that create a disproportionate drain on the resources of small broker/dealers without any measurable increase in investor protection.

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