

Candidate Profile — District Committee Election

Candidate Name: Lisa Detwiler

Title: General Counsel and Chief Compliance Officer

Firm: FS2 Capital Partners, LLC

Candidate Biography and Personal Statement

I am running for the Small Firm District Committee Seat to represent FS2 Capital Partners ("FS2") and other small firms in District 9. I have worked in the financial services industry since 1987, working at regulatory agencies, as outside counsel to financial services firms, as in-house counsel at an international financial services firm and currently as General Counsel and Chief Compliance Officer at FS2, the largest distributor of non-traded business development company securities in the U.S. I believe that I will be a strong advocate for the small firms in District 9 and will effectively represent this constituency.

I hold both FINRA Series 7 and 24 licenses and have worked with and for FINRA registered broker dealers since 1990. I have experience with a wide range of issues impacting small firms and am well versed on the impact of regulatory initiatives on small broker-dealers.

I have served on a variety of industry organizations. Currently, I serve on the Legal and Regulatory Affairs Committee and the Compliance Committee and the Compliance Committee of the IPA. Previously, I have served as the co-chair of the Legal and Compliance committee of the Money Management Institute. I also previously served on SIFMA's Legal and Compliance Committee and a number of SIFMA sub-committees. In addition, I have been very involved in bar association activities on the local, state and federal level, including serving as the Chair of the Pennsylvania Bar Association's Business Law Section. I believe that my experience in these organizations will assist in effectively representing the small firms in District 9 on FINRA's District Committee.

Most relevant to my candidacy is my experience from 2000-2004 working at a small broker-dealer, Lockwood Financial Services, which had approximately 20 branch offices in the U.S. After Lockwood was acquired by BNY, Lockwood was integrated into Pershing, LLC, a large clearing broker-dealer, where I was exposed to a broad range of issues impacting broker-dealers, as well as many best practices. In addition, I worked with many client broker-dealers on countless issues and was involved in a wide range of advocacy initiatives with regulators, trade associations and other constituencies.

I believe my advocacy skills and experience in the industry will be a benefit to small firms in District 9. I also believe that it is important to work closely with regulators to develop solutions for issues that small broker-dealers are confronting and will seek to do so through this District 9 Committee seat.

Optional Links:

Link to personal website, resume or CV: www.linkedin.com/lisa-detwiler

Link to YouTube video: [N/A](#)

Candidate Profile — District Committee Election

Candidate Name: Miriam Lefkowitz

Title: Chief Legal Officer

Firm: Summit Equities, Inc.

Candidate Biography and Personal Statement

Biography

For the past 13 years I have worked for privately-held, small and regional dually-registered BD/IAs in the full range of the FINRA small firm spectrum – one firm had 7 RRs, one had 145, and my current firm is in the middle. This background affords me a unique ability to anticipate and understand the concerns of small firms with varying business models, sizes and issues.

In 2014 I joined Summit Equities, Inc., an independent model firm with approximately 75 RRs based in NJ with 18 small offices, mostly located throughout NJ, as its Chief Legal & Compliance Officer (and I now serve as just the CLO because even at small firms it is increasingly difficult to combine these roles.) Before joining Summit, I spent 7 years as General Counsel of Shufro, Rose & Co., an NYSE-member/IA with an affiliated hedge fund, a single office in New York and 7 RRs. Previously, I spent 5 years as the General Counsel/CCO and eventually a Member of the Board of Directors of J.B. Hanauer & Co., a NJ-based a municipal bond firm which offered a full range of brokerage and advisory services through its clearing firm's platform. Hanauer had approximately 145 brokers.

Before going in house, I worked at the SEC where I gained insights into the regulatory process and how enforcement decisions are made. I started my professional career at a law firm, representing brokerage firms in arbitrations, inter-broker controversies and employment cases. I graduated from Columbia Law School and Columbia College.

I am also deeply involved in the compliance community. I serve on the board of the National Society of Compliance Professionals (NSCP) and will become the Chair of the Financial Services Committee of the Association of Corporate Counsel (ACC) later this fall. I am a regular speaker/publisher on securities issues for a number of organizations, including FINRA. From time to time, I have also represented other small firms in meeting their compliance and regulatory challenges, most recently as an expert witness in a matter in which the firm prevailed over the SEC in an administrative proceeding.

Statement

In my role as the chief legal and regulatory advisor to three small firms, I have had hands-on, daily involvement with a myriad of regulatory and operational issues. I have experienced firsthand how regulatory changes can burden small firms' budgets, disrupt their business models and stretch personnel, sometimes to the point that remaining independent begins to seem infeasible. One of my employers found itself with no alternative but to be acquired by a multinational bank, in light of the challenges of remaining independent.

I have maintained positive and productive relationships with FINRA supervisors, coordinators and examiners throughout my career, even though there have been many points of disagreement and I have strongly advocated for my firms. My goal as a District Committee Member is to leverage my experience to help FINRA understand the concerns and struggles of small firms and tailor its assumptions, approach and guidance accordingly.

Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Shawn P. McLaughlin

Title: President & CEO/Owner of my firm and producer

Firm: McLaughlin Ryder Investments, Inc.

Candidate Biography and Personal Statement

I have worked in the securities industry for thirty-two years and have owned my own broker-dealer for the past five years. I began my career in 1983 working for a regional firm headquartered in Baltimore rising to the position of Branch Manager and top-producer for their Alexandria, VA office. I left in 2003, setting up my own practice and affiliating with a small BD based in Hartford, CT. before purchasing my own broker-dealer in 2010. Additionally, my practice has an SEC-Registered Investment Advisor and our total Assets Under Management for the two entities is in excess of \$725 million.

During my career I have always taken the extra time to give back to our industry and to my community. Currently, I serve as Chairman of the Board of the Virginia College Savings Plan which is the largest Sec. 529 program in the nation with assets in excess of \$55 billion. I have served as chairman for over six years and I serve on the Investments Committee which directly manages over \$7 billion in our direct-sold and prepaid programs. I am most proud of the fact our Virginia Prepaid Program (for Virginia public institutions) has a funding level of 124%, up from 81% when I became Chairman, which places us at or near the top of any prepaid tuition program in the country. Further, I sit on the Inova Health System's Investment Committee which manages over \$4 billion for Virginia's largest health care delivery system.

I believe I am qualified to serve on the District Committee due to my years' of industry experience coupled with my position as an owner of a small firm. My workday hours are split between the time spent managing the firm, managing our advisors and running my own book of business built with over 30 years of experience. As an owner and producer, I am in the unique position of understanding the impact of rules and regulations on my small firm and on my clients.

I seek this position because I am convinced many firms and their advisors work hard each and every day to represent their clients' best interests and simply ask for a fair and balanced regulatory landscape in which to work. I work well with others and I have found the folks at Finra share my goals of a sensible regulatory environment. I listen well to others, especially to both sides of an argument. I would arrive at this position with no preconceived notions or any hidden agenda; my goal would simply be to advocate strongly for smaller firms and to ensure Finra has a complete and fair understanding of the concerns of small firms. I would be honored to have your vote for this position.

Optional Links:

Link to personal website, resume or CV: www.mclaughlinryder.com

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Steven D. Trigili

Title: Chief Compliance Officer

Firm: Garden State Securities, Inc.

Candidate Biography and Personal Statement

My name is Steven Trigili, and I am seeking your vote to serve on the District Committee.

Since 2009, I have served as the Chief Compliance Officer for Garden State Securities, Inc., of Red Bank, NJ. Prior to coming to Garden State, I served as the Chief Compliance Officer for Perrin, Holden & Davenport Co. of New York, NY, from 2003 to 2009. From 1995 through 2003, I was Vice President of Compliance for International Planning Alliance of Fairfield, NJ. I have been CAMS-certified since 2010, and I am currently pursuing my MBA with an anticipated graduation of Spring 2016.

I would like to serve on this Committee because I feel I will serve as objective and outspoken representation for small firms throughout our District. For the past ten years, I have been a recurring speaker at industry conferences and webinars on topics ranging from managing a robust small firm compliance program, to staying ahead of the curve on regulatory trends. I meet with hundreds of compliance officers and firm owners each year, and I know first-hand, both as a practitioner and as an educator, the regulatory challenges and risks we are faced with each and every day. I am now ready to be an advocate for the small firms that comprise our District, and I will work tirelessly to ensure that our voice is heard.

Working for small firms my entire 23-year career, I have seen the regulatory climate change dramatically. On a daily basis, I am involved with all aspects of managing the compliance program for my firm, and I'm continually striving to ensure a strong culture of compliance across the entire organization. Additionally, as the CCO for a dually-registered firm, I am intimately involved with all regulatory matters that span multiple jurisdictions, agencies, and SRO's. I work diligently to revise and improve our written supervisory procedures to keep them current with the relevant industry regulations, and I oversee a rigorous and effective firm-wide training program each year.

I also provide compliance consulting services to small firms and securities attorneys, and have been certified as an expert witness for securities arbitrations. My FINRA licenses are the Series 7, 24, 55, 63, 65, and 79, I was born and raised along the Jersey shore and now reside in New York City. By volunteering my time in the District Committee, I feel that I will be able to provide a fresh perspective on the challenging regulatory environment in which we all work and support our families on a daily basis.

Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/pub/steven-trigili-cams/6/85/8bb>

Link to YouTube video: _____