

## Candidate Profile — District Committee Election

Candidate Name: Sidney Banks

Title: Director of U.T.T. Sales

Firm: St Bernard Financial

### Candidate Biography and Personal Statement

I have been a Financial Advisor for 34 years. I have a Bachelor of Science in Business from Arkansas State University, and a Graduate Certificate in Banking (Trust Major) from the Southwestern Graduate School of Banking at SMU. I began my banking career in 1972 as a bank trust officer. In 1980, I went to work for Merrill Lynch in their Jonesboro, AR office. When Merrill closed the Jonesboro office in 1999, I transferred to A.G. Edwards where I was asked to be the Assistant Manager in 2000. In 2006, I was promoted to Branch Manager where I managed a 24 person team until choosing to go independent. I have worked for a large firm (Merrill Lynch), a regional firm (A.G. Edwards), and now an independent firm. With my diverse background and 34 years of experience, I understand compliance issues, management pressures, and client issues and have faced each personally.

I am married to Robin, who recently completed her Master's Degree and is a Nursing instructor at AR Northeast College. I have two children: Caroline, an executive with the Springdale, AR Chamber of Commerce; and Phillip, a Captain with United Express Airlines. I am a past president of the Jonesboro Kiwanis Club, and currently serve as Chairman of the Scholarship Committee. I feel my experience and my commitment to this industry will benefit all the members of this district.

### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_

## Candidate Profile — District Committee Election

Candidate Name: William E. Hopkins II

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Title: CEO / CCO

Firm: Silver Oak Securities Inc.

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### Candidate Biography and Personal Statement

I am the president and ceo of Silver Oak Securities, Inc. I started the firm in 1999 with 5 registered representatives including myself. Our firm has grown through referalls and personal contacts. We started our firm offering full service brokerage products, We now offer fee based wealth management and investment banking services to customers. We have 26 branches and are registered in 40 states. I believe that I understand some of the challenges facing small firms. I hope to add a lot of value to the committee as I have served as the CCO but also business development, recruiting, and product due diligence.

I have served as chief complaince officer since inception. Our firm believes in independence and the philosophy that registered representatives and / or investment advisors should not offer proprietary products and services to customers. We should offer the product or service that best fits the customer. We believe in financial planning and wealth planning customers. We now manage close to a billion in assets under management.

Our firm is now in the unique position of trying to deveolp enterprise compliance solutions around the independent channel using complaince vendors and technology to streamline te process.

### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_

## Candidate Profile — District Committee Election

Candidate Name: Mary Ellen Williams

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Title: VP/Chief Compliance Officer

Firm: Lieblong & Associates, Inc.

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### Candidate Biography and Personal Statement

#### BIOGRAPHY

##### Education:

Master of Business Administration, University of Central Arkansas

Bachelor of Science in Business Administration, University of Arkansas

##### Licenses Held:

Series 7	General Securities Representative
Series 24	General Securities Principal
Series 27	Financial and Operations Principal
Series 63	State of Arkansas Agent
Series 79	Investment Banking Representative
Series 99	Operations Representative

Mary Ellen Williams has over 12 years experience in the securities industry. Ms. Williams serves as Vice President, Chief Compliance Officer, Financial and Operations Principal and General Securities Principal for Lieblong & Associates, Inc. of Little Rock, AR. Lieblong and Associates is a dually registered BD/RIA. Ms. Williams is responsible for maintaining compliance within the firm, including Anti-Money Laundering monitoring and education, clearing firm relations, preparation and maintenance of Written Supervisory Procedures, preparing and conducting the Annual Compliance Meeting and Continuing Education Program, and a multitude of other routine reviews and controls. As the principal contact with regulators for several FINRA, State, and SEC exams, Ms. Williams has developed experience in communicating with regulators, and believes that open communication is vital to maintaining a firm's compliance in an ever-changing environment.

#### STATEMENT

My experience at Lieblong & Associates, Inc. allows me to be involved in many different aspects of compliance and to develop a working knowledge of the real-life daily impacts of our current regulatory environment. I believe that each firm possesses a unique business mix which presents different compliance needs for everyone in our district. With no two firms being exactly alike, it is difficult to read a rule and interpret how it may affect businesses differently. I will always be available to firms that wish to reach out with their specific needs and I will be happy to take those issues directly to FINRA for guidance. I will welcome calls and emails from members and I will do my best to represent those members at our meetings. I believe staying active within the FINRA community is important to understanding the ever-changing regulatory landscape. I have been active in my attendance at industry conferences, and I try to seek out new opportunities for networking and discussing industry issues. I believe participating in the District 5 Committee will give me the unique opportunity to not only represent small firms in this region, but will also encourage meaningful dialogue with the regulators. I would appreciate your vote.

#### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_