

Candidate Profile — District Committee Election

Candidate Name: Alan Carlisle

Title: Chief Investment Officer

Firm: SCF Securities, Inc.

Candidate Biography and Personal Statement

Biography

Throughout his 18 years of experience in the financial services industry and capital markets, Alan has contributed to and forged relationships with financial services firms, including institutional and retail broker dealers, alternative trading systems and market makers. He currently serves as Chief Investment Officer of SCF Securities, Inc., an independent broker/dealer based in Fresno, CA. Alan has also helped lead the executive teams of several broker/dealers, including the founding of his own firm in 2007.

Alan holds Series 4, 7, 9/10, 24, 27, 53, 55, 63, 65, 79 and 99 securities licenses, a California Life Agent License, a California Real Estate Broker's License, and the CFA Institute's Certificate in Investment Performance Measurement. Additionally, he is a Certified Commercial Investment Member, LEED AP BD+C and AP O+M.

As an active contributor to several philanthropic organizations, Alan strongly believes in serving his community and the financial services industry. Since 2003, he has served as an Industry Arbitrator on the Roster of Neutrals for FINRA Dispute Resolution and currently volunteers on the CCIM Professional Standards and Mediation roster. Alan was appointed to serve as a Small Firm Representative for FINRA District 1 in 2012, to the Urban Land Institute's Sustainable Development Council in 2013, and was elected to chair the Real Estate Investment Securities Associations' Capital Markets Committee in 2010. He remains active in various industry organizations and enjoys participating in opportunities to give.

Personal Statement

My interest in appointment to the District Committee is quite simple — service to an industry for which I have tremendous passion and to which I have dedicated my entire career.

Now, more than ever, the interests of FINRA constituents — small, medium and large — need to be voiced. As our representatives, the Committees' primary role is to advocate responsible enforcement in a constantly changing regulatory and legislative landscape. The Committee, therefore, can play a critical role in how our industry and the capital markets respond and adapt to developments in law, technology, taxation, consolidation, and globalization. I believe my experience allows me to offer a balanced view in the broader deliberation of client protections and correlated impediments on firms and markets. I will seek to collaborate with industry peers and fellow committee members to draft thoughtfully-constructed commentary on proposed regulation, to assertively articulate industry concerns, and to promote accountability of and cooperation with forum participants.

The Committee's role in the disciplinary process plays a foundational part in promulgating the ethical framework in which we operate. The adjudication of enforcement cases reflects on — if not creates — public perception of the culture and values within our industry. I will seek to effectively resolve matters through discerning analysis of complex legal and compliance questions, as well as to develop key recommendations in the formulation and presentation of case disposition.

I invite the work and perseverance that is required to successfully advocate on your behalf and respectfully ask for your vote. Please cast your vote — regardless of whom receives it. I am confident your vote will be meaningful.

Optional Links:

Link to personal website, resume or CV: <http://www.linkedin.com/in/alanrcarlisle/>

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Chris Charles

Title: CEO/CCO

Firm: Wulff, Hansen & Co.

Candidate Biography and Personal Statement

Thank you for considering my candidacy for the District 1 Committee. Our District, including San Francisco, is on the cutting edge of many innovative and disruptive financial services that present challenges to both the industry and the regulators. Technology means that today's startups, some of which are broker/dealers, are building a new environment that will ultimately affect all of us in the industry and everyone who invests through our firms. Crowdfunding and the JOBS Act are active here too, alongside scores of us with more traditional business models. Serving on the District Committee here would be an opportunity to help ensure that FINRA's regulation of various business models, old and new alike, can protect investors without harming or overburdening small firms. By providing real-world information about how small firms operate, we can help FINRA better understand what we do and help make the regulatory regime what it needs to be: Smart, effective, and minimally invasive.

As CEO and CCO of a small FINRA member firm, I've learned that in order to help us all successfully do business in today's regulatory climate it's important to be involved in the industry and work hard to communicate the small firms' point of view to FINRA, the MSRB, the SEC, and others. I've been with my firm for nearly 35 years and, probably like you, in all that time I have never seen a regulatory environment as challenging and fast-evolving as the one we're living in today. Unfortunately, that's probably not changing any time soon, which makes it all the more important that we are seen and heard by FINRA and the other regulators.

I've been doing my best to support and represent smaller FINRA member firms since 2006, when I joined the District 1 Committee, finishing my term there as Chair in 2009. I'm presently ending three years of service on the Small Firm Advisory Board (SFAB), which advises FINRA on the potential impact on small firms of newly proposed regulations. We meet five times a year with FINRA's senior management, including the CEO, Rick Ketchum, and the heads of the various departments. That experience has been very useful, because while we've lost many battles fought on behalf of the small firms we represent, we've won some important ones, too, by explaining to FINRA senior staff how a particular idea or proposal would have unintended consequences for firms with limited size and resources. Too many rules are initially drafted with large firms in mind, so it's vital to provide perspective from other points of view. In many cases such proposals have come back with modifications making them less burdensome and more livable for the majority of firms who don't have the luxury of having full-time compliance staff. I also serve on the Board of the National Association of Broker/Dealers, formerly known as the NAIBD, which also advocates for small firms with the regulators, SIPC, the PCAOB, and others. We're in the process of rejuvenating that group, which for some years was a strong advocate for small firms, and we hope to make it that again.

Thank you very much for your consideration.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Gregory B. Gilbert

Title: President

Firm: Infinity Securities, Inc.

Candidate Biography and Personal Statement

Greg Gilbert is an accomplished, results-driven senior wealth manager; CFP; and President and Chief Compliance Officer of Infinity Financial Services, a national FINRA broker/dealer and registered investment advisor. He brings 16 years of successful and progressive leadership, business development and client relationship management experience to the District 1 Committee. He holds FINRA Series 4, 7, 24, 53, and 66 licenses and a California Insurance License. He received his B.A. in Speech Communication from San Francisco State University and joined Merrill Lynch Private Client Group as a financial advisor in 1998. He joined LPL Financial Corporation (2004 to 2008) to become an independent advisor.

Just nine years into his career as an advisor, Greg realized he needed to make a change. He sought a new, more flexible business model, the opportunity to take full ownership of his career, and the ability to help other advisors grow their practices. Together with long-time friend and colleague James P. Simos, Greg co-founded an independent broker/dealer and RIA in Oakland, CA in 2007. Some might have considered this a tremendously bold step, but Greg and Jim didn't see obstacles, they saw a great opportunity.

Greg is passionate in his mission to help change clients' lives by providing comprehensive fee-only financial planning advice, plan implementation and portfolio management services, and an on-line mobile account aggregation tool that provides clients with optimum access, control, and understanding of the interrelated aspects of their financial lives. Infinity's financial professionals may leverage this complete view of the client's financial picture and conversations about the client's near and long-term goals to create a cost-effective financial plan and investment allocation approach.

Greg is dedicated to serving his clients and helping the firm's financial professionals to grow their independent practices in a flexible, open architecture environment. Greg's vision is for Infinity representatives to be the trusted financial professionals chosen by busy, intelligent investors who seek control over their finances and thoughtful guidance to make informed choices about: investing, managing risk, minimizing taxes, funding retirement, funding college expenses, budgeting, philanthropy, and estate planning. The firm's guiding values are trust, excellence, intelligence, integrity, diligence and transparency.

Greg is extremely well-versed regarding ongoing regulatory and compliance issues; experienced in evaluating and selecting a comprehensive platform of technology solutions and correspondent services; and expert in the implementation of an extensive array of asset and risk management solutions. Infinity Financial Services offers traditional securities, alternative investments, insurance and risk management services, professional asset management, and retirement plan advisory services to individual, small business and/or institutional investors.

"It would be a great honor to serve on the District 1 Committee. Is it an opportunity to leverage my first-hand understanding of how regulatory and compliance rule changes may affect brokerage firms, representatives, and investors. I look forward to weighing in on pending FINRA regulations, serving on panels, obtaining insights regarding FINRA proposals, and doing my part to help shape a strong future for our industry."

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