

Candidate Profile — District Committee Election

Candidate Name: Stephanie Peters Mumford

Title: Vice President & Chief Compliance Officer

Firm: T. Rowe Price Investment Services, Inc.

Candidate Biography and Personal Statement

Thank you for considering me to represent member firms as a FINRA District Committee member. I believe my over 19 years of securities industry experience at FINRA member firms, the SEC and FINRA has provided me with a detailed understanding of the rules, regulations and procedures of the securities industry and I hope to bring this experience to the committee on behalf of member firms.

Currently, I am Vice President and Chief Compliance Officer of T. Rowe Price Investment Services, Inc. I have enjoyed returning to the member firm side of the industry and have a strong appreciation for the complex regulatory environment and desire to participate in shaping the future of the securities industry as well as providing insight regarding member firm concerns.

Prior to joining T. Rowe Price, I was a Special Counsel at the Securities and Exchange Commission's Division of Trading and Markets and Senior Counsel in the Office of Compliance Inspections and Examinations. My responsibilities included evaluation and approval or disapproval of proposed rule change filings from SROs regarding all aspects of their business including fees, trading, operations, and other programs. I also co-lead the oversight of the Alternative Trading Systems Program. This entailed reviewing filings made pursuant to Regulation ATS, assessing the adequacy of the filings which involved analyzing and understanding the operations of the trading system, and being a subject matter resource for both internal and external sources. In addition, my experience includes composing rule proposals, concept releases and SEC reports for regulatory initiatives. At the SEC in the Office of Compliance Inspections and Examinations, my responsibilities included inspections of SROs as well as trading operations and practices of other financial entities including broker/dealers, electronic communication networks and Alternative Trading Systems.

Prior to my positions at the SEC, I worked in FINRA's Market Regulation Department. In Market Regulation, I was responsible for assessing potential rule violations against member firms and individuals for sufficiency of evidence and settlement of disciplinary matters. I handled matters in a variety of subject areas including market manipulation, order audit trail, trade reporting requirements, order handling rules, and short sales. I was also a staff member of FINRA's Market Regulation Committee which consisted of gaining insight and having discussions with member firms regarding new and existing trading rules and activities. Before FINRA, I held compliance positions in the industry with Linsco/Private Ledger (LPL Financial) as a Compliance Analyst and at Vanguard as a Legal Compliance Administrator.

I very much appreciate the opportunity to be considered as a member of the District Committee and represent District 9 member firms.

Thank you,
Stephanie Mumford

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Candidate Profile — District Committee Election

Candidate Name: Jed P. Woelfle

Title: Managing Director / Complex Manager

Firm: Morgan Stanley

Candidate Biography and Personal Statement

Jed is a Managing Director with Morgan Stanley, and has been the Complex Manager for the Washington DC, Annapolis, and Eastern Shore markets since October 2012. The Complex is comprised of over 200 Financial Advisors across 8 locations. He currently sits on the firm's Branch Manager Advisory Council.

With the initial formation of the joint venture between Morgan Stanley and Smith Barney in 2009, Jed was named the Mid Atlantic Regional Director overseeing 35 client-facing locations with over 900 Financial Advisors throughout Delaware, Maryland, Washington DC, and Northern Virginia.

He completed Morgan Stanley's Leadership Program in 2011 as 1 of 40 Managing Directors worldwide attending monthly business/challenge sessions with senior leaders throughout the organization.

Prior to the joint venture with Morgan Stanley, Jed held the position as Smith Barney's Regional Director of the Atlantic Coast Region in Charlotte, NC. He led this region through the 2008 financial crisis.

Jed joined Smith Barney via the Legg Mason acquisition in 2005. At Legg Mason, he was the Branch Manager of the headquarter office in Baltimore, MD. While in that role, he served on the Branch Manager Advisory Council from 2004 through 2008.

Jed started his career in the industry as a Financial Advisor with Prudential Securities in 1992, where he later held roles of Training Officer for the NY City Metropolitan Region, and Branch Manager for the Washington DC Beltway Complex.

He holds a BS in Accounting from The University of Maryland University College.

Personal Statement

With over 22 years of experience in our industry, I possess a wide and deep range of experience that would provide the District Committee a helpful and value added perspective. As an industry, we face a variety of current and future challenges that will require a thoughtful and insightful partnership between FINRA and member firms. As a committee member, I would be honored to have the opportunity to strengthen our industry for the benefit of all constituents.

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Link to personal website, resume or CV: _____

Link to YouTube video: _____