

Attachment A: SFAC Candidates

Information about each candidate is available at www.finra.org/sfac/candidateprofiles.

Midwest Region Seat Candidates

- ▶ Robert L. Hamman, President & Chief Compliance Officer, First Asset Financial Inc.
- ▶ Dennis Kerlin, Chief Compliance Officer, Optiver Execution Services LLC
- ▶ Carlos Javier Legaspy, President & CEO, Insight Securities, Inc.

South Region Seat Candidates

- ▶ John (Jack) Bruno, Chief Operating Officer, Global Financial Services, LLC
- ▶ Sergio Guerrero, COO & FINOP, Amerant Investments, Inc.
- ▶ Gregg Guinta, President, AAG Capital, Inc.
- ▶ David Lee Hunt, Chief Executive Officer/Chief Compliance Officer, Securitize Markets, LLC
- ▶ Alyson Mencio Stevens, Chief Compliance Officer, Wiley Bros.-Aintree Capital, & Partners, LLC