

Election Notice

Notice of FINRA Regional Committee Elections and Mailing of Ballots

Voting Deadline: November 18, 2024

October 18, 2024

Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management

Executive Summary

The purpose of this *Election Notice* is to notify firms of the elections to fill vacancies on the FINRA Regional Committees, and the mailing of ballots to eligible firms.

As detailed below, the following seats are contested:

- ▶ Midwest Region Committee, Districts 4 and 8
- ▶ New York Region Committee, District 10
- ▶ North Region Committee, District 11
- ▶ South Region Committee, Districts 5 and 7
- ▶ West Region Committee, District 1

Firms that were FINRA members in the districts listed above as of the close of business on Thursday, October 17, 2024, are eligible to vote for the contested seats, and these will be the only firms receiving ballots. (Ballots will not be distributed for the uncontested elections where the candidates are running unopposed or for which no candidates self-nominated.)

Voting concludes on Monday, November 18, 2024.

Questions concerning this *Election Notice* may be directed to:

- ▶ Jennifer Piorko Mitchell, Vice President and Deputy Corporate Secretary, via [email](#) or (202) 728-8949; or
- ▶ Kayte Toczykowski, Vice President, Member Relations and Education, via [email](#) or (215) 209-7087.

Voting Information

The executive representative¹ of each eligible firm is able to vote by telephone, internet or U.S. mail. Voting instructions are included in the email sent on October 18, 2024, from finraagent@proxy-agent.com and on the ballots being mailed to eligible firms. Voting concludes on Monday, November 18, 2024.

Terms of Regional Committee Members

The successful candidates—the individuals who self-nominated for the uncontested seats and the individuals appointed to fill seats with no self-nominated candidates—will serve three-year terms starting on January 1, 2025, and expiring December 31, 2027. There is no limit on the number of terms a Regional Committee member may serve, except that Regional Committee members may not serve more than two full terms consecutively. Terms of Regional Committee members will terminate if they do not remain eligible for the seat for which they were elected.

Regional Committee Candidates

[Election Notice 9/3/2024](#) previously announced the upcoming vacancies on the Regional Committees and the process by which interested individuals could seek to become candidates. FINRA's Regional Committees serve an important role in the self-regulatory process by, among other things, alerting FINRA to industry trends that could present regulatory concerns, consulting with FINRA on proposed policies and rule changes, and possibly serving on disciplinary panels. The Regional Committees are organized into the following regions: Midwest (Districts 4 and 8); New York (District 10); North (Districts 9 and 11); South (Districts 5, 6 and 7); and West (Districts 1, 2 and 3).

All individuals who submitted their names and met the qualifications² were certified as a candidate for their district's election. Below is a list of the candidates and which regions/districts are contested or uncontested.

Candidates For Contested Seats

- ▶ **Midwest Region Committee: District 4 Representatives - Candidates Running for Two Vacancies**
 - Mason A. Burnham, Executive Director/Divisional Supervisory Manager, Wells Fargo Advisors Financial Network, LLC (*Current committee member; term expires 12/31/2024*)
 - Kimberly Chapman, Chief Compliance Officer, Berthel Fisher & Company Financial Services (*Current committee member; term expires 12/31/2024*)

- James Clements, Chief Compliance Officer, Carson Group Brokerage, LLC
- Margaret A. Dubil, Director of Surveillance, Stifel, Nicolaus & Company, Incorporated
- Scott Weindel, Principal, Edward Jones
- ▶ **Midwest Region Committee: District 8 Representatives - Candidates Running for Two Vacancies**
 - Taylor Kerley, Director of Corporate Compliance, Robert W. Baird & Co. Incorporated
 - Steven Milcarek, Vice President, Operations, PEAK6 Capital Management LLC
 - Randy Pistor, Chief Legal Officer, Sigma Financial Corporation
 - Thomas Sarko, Chief Compliance Officer, Core Financial, LLC
- ▶ **New York Region Committee: District 10 Representatives - Candidates Running for Four Vacancies**
 - Peter A. Garcia, Head of Business Development and Controls, North America, Rabo Securities USA, Inc.
 - Brenda Hinton, Chief Compliance Officer, Nasdaq Capital Markets Advisory LLC
 - David L. Hunt, Chief Compliance Officer, Palico LLC
 - Anushree Rajendra Jain, Senior Brokerage Manager, Titan Global Technologies LLC
 - Richard Kolman, Managing Director, Academy Securities, Inc.
 - Anthony Savarese, Head of U.S. Compliance, XTX Execution Services LLC (*Current committee member; term expires 12/31/2024*)
- ▶ **North Region Committee: District 11 Representatives - Candidates Running for Two Vacancies**
 - John Klocek, Chief Compliance Officer, Loomis Sayles Distributors, L.P.
 - Andrew Spencer Kurian, Chief Compliance Officer/Chief Financial Officer, Hedgebay Securities LLC (*Current committee member; term expires 12/31/2024*)
 - Alina Monisov, Director of Compliance, U.S. Boston Capital Corporation

- ▶ **South Region Committee: District 5 Representatives - Candidates Running for Two Vacancies**
 - Nicole Sylvester Brinkerhoff, Compliance, Carty & Company, Inc. (*Current committee member; term expires 12/31/2024*)
 - Robert Keenan, Chief Executive Officer, St. Bernard Financial Services, Inc.
 - Mayo M. Woodward, Investment Product Manager, StoneX Securities Inc.
- ▶ **South Region Committee: District 7 Representatives - Candidates Running for Two Vacancies**
 - Dulce Galindo, Chief Compliance Officer, Bradesco Investments Inc.
 - Christy Lee, FINOP - Principal Financial Officer, Millennium Advisors, LLC
 - Cece Baute Mavico, Chief Operating Officer and Governance Controls Officer, Truist Investment Services, Inc.
 - Joquinn T. Sadler, Chief Executive Officer, Nortlov Securities LLC
 - Jim R. Webb, Chief Executive Officer, American Global Wealth Management, Inc. (*Current committee member; term expires 12/31/2024*)
- ▶ **West Region Committee: District 1 Representatives - Candidates Running for Two Vacancies**
 - Jaya Price, Compliance Officer, Qatalyst Partners LP
 - Jason Rives, Chief Executive Officer/Chief Compliance Officer, Figure Securities, Inc. (*Current committee member; term expires 12/31/2024*)
 - Peter Smith, Vice President Compliance, Bankoh Investment Services, Inc.

Candidates For Uncontested Seats

For the seats listed below, there were either sufficient candidates to fill the vacancies or fewer candidates than seats available. Therefore, ballots will not be mailed for the following uncontested seats. For individuals interested in the vacancies identified below, please contact the [Office of the Corporate Secretary](#) to be considered for the openings.

- ▶ **North Region Committee: District 9 Representatives - Candidates for Two Vacancies**
 - Michael P. Doherty, Chief Compliance Officer, Susquehanna Securities, LLC
 - Steven Trigili, Chief Compliance Officer, Garden State Securities, Inc.
- ▶ **South Region Committee: District 6 Representatives - Candidate (Two Vacancies – FINRA to identify nominee for unfilled vacancy)**
 - Trisha Hancock, Chief Compliance Officer, Invesco Distributors, Inc. *(Current committee member; term expires 12/31/2024)*
- ▶ **West Region Committee: District 2 Representatives - Candidate (Two Vacancies – FINRA to identify nominee for unfilled vacancy)**
 - Ken Muraoka, Sr. Managing Director and Head of Compliance Shared Services, Cetera Advisor Networks LLC *(Current committee member; term expires 12/31/2024)*
- ▶ **West Region Committee: District 3 Representatives - Candidate (Two Vacancies – FINRA to identify nominee for unfilled vacancy)**
 - MacGregor B. Maitland, Chief Risk Officer, Steward Partners Investment Solutions, LLC

Endnotes

1. Pursuant to FINRA Rule 4517, firms must update their contact information promptly, but in any event not later than 30 days following any change in such information, as well as review and, if necessary, update the information within 17 business days after the end of each calendar year. To update an executive representative's name, mailing address and email address, firms may access the FINRA Contact System, via [FINRA Gateway](#). Additionally, firms must comply with any FINRA request for such information promptly, but in any event not later than 15 days following the request, or such longer period that may be agreed to by FINRA staff. See FINRA Rule 4517.
2. See FINRA Regulation By-Laws, Article VIII, Section 8.2.