

District 3 – West Region Candidates

- Mark Howells, CEO, M.S. Howells & Co.
- Teresa L. Luiz, Director, Regulatory Compliance and Compliance Officer, GWFS Equities, Inc.
- Steven Price, Chief Compliance Officer, ALPS Distributors, Inc.
- Timothy E. Taggart, President and Chief Compliance Officer, World Capital Brokerage, Inc.

Candidate Profile Form—Regional Committee Election

Candidate Name: MARK HOWELLS

Title: CEO

Firm: M.S. Howells & Co

Candidate Biography and Personal Statement

SEE ATTACHED

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____

Mark S Howells:

Mark's journey began at the family's grocery business in Cleveland, Ohio, where he acquired valuable traits and characteristics to guide him through life and aid in his success. Not far from the family grocery store was the local police department where he would watch the officers with great admiration and respect. Intrigued by their bravery and commitment to public service he worked towards a degree in criminal justice and began a decade-long career as a police officer.

While working nights on the Phoenix PD and helping raise his three children, he was introduced to the securities industry. In 1981, he began a day-shift in the back office of a NYSE member firm. There he learned the intricacies of the securities industry while working his way into sales, and then management before forming his own firm in 1987.

In 2000, he sold his ownership in the firm, and started M.S. Howells & Co., a boutique broker-dealer that services hedge funds and Registered Investment Advisors. With over 30 years' experience in the securities industry, Mark has extensive knowledge of the high net worth client, market making, corporate finance, options, and the municipal and corporate bond market.

In 2008 Mark recognized a need within the industry for quality accounting and administrative services for hedge fund managers. With that, he established PartnersAdmin, LLC, to provide comprehensive back office support to hedge fund managers as well as private equity, real estate, and venture capital funds.

In addition, Mark spent 15 years as a member of the board of directors at Inventure Foods, Inc. (SNAK) and is responsible for taking them public. He loves to spend time in Telluride, Co., and recently became a certified ski instructor. Mark holds a series 7, 24, 53, 79 and 63 securities licenses. Through his various successes in life he still has the desire to provide for the public through his businesses and philanthropy, where he supports various charities through his Foundation.

Candidate Profile Form—Regional Committee Election

Candidate Name: Teresa L. Luiz

Title: Director, Regulatory Compliance and Compliance Officer

Firm: GWFS Equities, Inc.

Candidate Biography and Personal Statement

Teresa L. Luiz, FLMI, CSCP, Director Regulatory Compliance for Great-West Financial and Compliance Officer for GWFS Equities, Inc., its broker dealer subsidiary. GWFS Equities, Inc. ("GWFS") is a large broker dealer firm aligned with FINRA District 3 in Denver, and supports the business of Empower Retirement and Great-West Financial. Empower Retirement refers to products and services offered by Great-West Life & Annuity Insurance Company, headquartered out of Greenwood Village, CO and Great-West Life & Annuity Insurance Company of New York (NY, NY), and their subsidiaries and affiliates.

I joined Great-West Financial in 1997 as Assistant Manager for the Compliance Department and have been appointed as a Compliance Officer for GWFS since that time. My role has consistently evolved and has encompassed a wide variety of duties and increasing level of responsibilities providing compliance support to GWFS, its Board of Directors and senior executives, through years of continual business growth and expansion. GWFS is registered as a general securities firm, primarily supporting the defined contribution plan and individual retirement account business of Empower Retirement. Since late 2015, GWFS also acts as an introducing broker dealer for self-directed brokerage accounts offered in employer sponsored defined contribution plans and IRAs, and recently expanded further into taxable, retail accounts. GWFS is also the principal underwriter for proprietary mutual funds and a number of variable annuity and insurance contracts issued by its parent company and New York affiliate insurance company.

Prior to joining Great-West Financial, I held various roles in the Compliance Department for a subsidiary of The Prudential Life Insurance Company of America, supporting the individual mutual fund and variable contract business on both a regional and national level from 1986 to 1996.

I hold active S6/S26, S7/24 and S63 registrations. During my 30+ years as a broker dealer compliance professional, I've had the privilege of attending multiple FINRA and industry conferences seminars related to securities and investment regulations and compliance, and completed a number of CRCP courses offered through the Wharton School of Business. I obtained the Certified Securities Compliance Professional (CSCP) designation in 2010 and have been a member of the National Society of Compliance Professionals for approximately 15 years. I've also been an active participant in the Denver Compliance Roundtable group for over ten years and attended multiple workshops and regional seminars sponsored by the FINRA Denver District and Western Region, where I've had the privilege of meeting industry colleagues from firms of all sizes and business types. I previously attained the Chartered Life Underwriter ("CLU") designation (not currently active) and the Fellow Life Management Institute (FLMI).

As a FINRA Regional Committee member, I would consider it a professional and personal privilege to broadly and fairly represent the compliance views and concerns of industry colleagues from all firms aligned with FINRA District 3, regardless of the size of the firm and/or nature of business they conduct. Thank you for your consideration.

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Steven Price

Title: Chief Compliance Officer

Firm: ALPS Distirbutors, Inc.

Candidate Biography and Personal Statement

I have spent a large portion of my career seeing industry issues both from the perspective of an industry participant and also through the eyes of a regulator. I currently serve as the Chief Compliance Officer for two broker-dealers that are focused on mutual fund and related product distribution. However, prior to joining my current firm 10 years ago I worked for the Enforcement Departments of both FINRA and the Colorado Division of Securities. Throughout my time in the industry I have come to believe that there are many firms that put their customers first and dedicate significant time and resources to ensuring compliance with all rules and regulations. However, there is also a population of firms in the financial services industry that do not demonstrate a commitment to investor protection or to ensuring a well designed system of controls and oversight. I believe that there is a balance that must be struck between a regulator's approach to supporting those firms that try to "do the right thing," and those that exist only to enrich themselves. If selected for the Regional Committee, it would be my intent to contribute toward meaningful regulation and education for those firms that benefit from clearly written mandates, while at the same time recognizing the need for a firm hand in ensuring investor protection, particularly aimed at firms that fall into the category of existing only for their own enrichment.

Please see my attached CV for a more detailed description of my experience.

Thank You,
Steve Price

Optional Links:

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Link to YouTube video:

Candidate Profile Form—Regional Committee Election

Candidate Name: Timothy E. Taggart

Title: President and CCO

Firm: World Capital Brokerag

Candidate Biography and Personal Statement

Timothy E. Taggart first joined the Securities Industry in July of 1985 as a Financial and Operations Principal. Since then he has successfully passed the General Securities Representative Examination, the General Securities Principal Examination, the Uniform Securities Agent State Law Examination, the Registered Options Principal Examination and the Municipal Securities Principal Examination. He held the responsibility of day-to-day operation and marketing of a brokerage firm as well as a mutual fund complex with assets under management of over 500 million; as well as overseeing over 50 employees.

Timothy graduated the University of Denver with an MBA in Finance and Accounting.

Timothy is the President, Chairman and a member of the Investment Committee of American Growth Fund, Inc., founded in 1958. He is the Owner, President, Chief Compliance Officer and a Director for both Investment Research Corporation, a Registered Investment Advisory firm, and World Capital Brokerage, Inc., a full service Broker/Dealer. Timothy is also a FINRA Arbitrator.

Timothy is particularly proud of the dedication he shows to his employees and the dedication they show him. His senior management team has been a part of the American Growth Fund for an average of 18 years. The average longevity of all of Timothy's associates is 7 years.

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