

Contact FINRA District Committees

The District committees advise FINRA on industry trends of regulatory concern and provide input on the impact of FINRA's regulatory programs. District Committee members are interested in your comments and questions regarding FINRA's regulatory programs.

You may email your comments and questions directly to a committee member in your district by clicking a committee member's name.

2015 Committee Rosters

District 1

Chris Charles	Wulff, Hansen & Co.	San Francisco, CA
Janet Epstein	Charles Schwab & Co., Inc.	San Francisco, CA
Austin Hamilton	BTIG, LLC	San Francisco, CA
Gil Mogavero	JMP Securities, LLC	San Francisco, CA
Robert Muh	Sutter Securities, Inc.	San Francisco, CA
Kevin Smith	Wells Fargo Advisors	San Francisco, CA
James Williams	Financial Telesis, Inc.	San Rafael, CA

District 2

Aimee Blinder	National Planning Corporation	El Segundo, CA
Monica Daggs	CUSO Financial Services, L.P.	San Diego, CA
Rick Dahl	Sorrento Pacific Financial LLC	San Diego, CA
Patti Kuhlman	Girard Securities	San Diego, CA
Sandy Pappalardo	Puplava Securities, Inc.	San Diego, CA
Mark Quinn	First Allied Securities, Inc.	San Diego, CA
Michelle Thomas	WBB Securities, LLC	San Diego, CA

2015 Committee Rosters

District 3

Bernard Breton	Cetera Advisors LLC	Denver, CO
Kay Johnson	National Securities Corporation	Seattle, WA
Vincent Madden	Wells Fargo Advisors	Seattle, WA
Gordon Price	Walton Securities, Inc.	Scottsdale, AZ
Mary Simonson	SagePoint Financial, Inc.	Phoenix, AZ
Harry Striplin	Umpqua Investments, Inc.	Portland, OR
Alexis Vanden Bos	E.K. Riley Investments, LLC	Seattle, WA

District 4

Kenneth Cherrier	Waddell & Reed	Overland Park, KS
Norm Conley	J.A. Glynn & Co.	St. Louis, MO
Tim Halevan	CUNA Brokerage Services, Inc.	Waverly, IA
Robert Hamman	First Asset Financial Inc.	Salina, KS
Robert T. Mooney	Wells Fargo Advisors, LLC	St. Louis, MO
Jessica Pastorino	M&A Securities Group, Inc.	Kansas City, MO
Amy Shelton	American Century Investment Services	Kansas City, MO

District 5

James F. Dixon, III	Sterne, Agee & Leach, Inc.	Birmingham, AL
Nancy Johnson Jones	BOSC, Inc.	Tulsa, OK
Kevin Scanlon	Stephens, Inc.	Little Rock, AR
Mary Ellen Williams	Lieblong & Associates	Little Rock, AR
Kathryn Wilson	The Baker Group LP	Oklahoma City, OK
Mayo Woodward	Ameriprise Financial Services, Inc.	Birmingham, AL

2015 Committee Rosters

District 6

Ed Balsmann	Tudor, Pickering, Holt & Co. Securities, Inc.	Houston, TX
Christopher Barton	Morgan Stanley	Dallas, TX
Susanne Denby	NFP Securities, Inc.	Austin, TX
Tim Edwards	Prospera Financial Services	Dallas, TX
William Lee	Wells Fargo Advisors	San Antonio, TX
David McNally	McNally Financial Services Corporation	San Antonio, TX

District 7

Ken Bell	Cetera Advisor Networks LLC	Atlanta, GA
Beth Burns	Synovus Securities	Columbus, GA
Patrick Sheehan	Elevation, LLC	Charlotte, NC
Virginia Voos	Bridge Capital Associates, Inc.	Lilburn, GA
David Weinberger	International Assets Advisory, LLC	West Palm Beach, FL
Charles Lambert White, III	Morgan Stanley	Boca Raton, FL

District 8

Kathy Birk	Morgan Stanley	Indianapolis, IN
Jeffrey Bley	The O.N. Equity Sales Company	Cincinnati, OH
William Hayden	Keybank Capital Markets, Inc.	Cleveland, OH
Lisa Lauria	Thurston Springer Miller Herd & Titak, Inc.	Indianapolis, IN
Jeff Levine	Mesirow Financial	Chicago, IL
Stephen Mack	Mack Investment Securities	Northfield, IL
Jason Welch	WWK Investments, Inc.	Northville, MI

2015 Committee Rosters

District 9

Michael J. Carroll	Wells Fargo Advisors, LLC	Red Bank, NJ
Catherine Cucharale	M. Griffith Investment Services	New Hartford, NY
Peter Elish	Peter Elish Investments Securities	Canonsburg, PA
Allan Goldstein	S.J. Levinson & Sons, LLC	Purchase, NY
Gary Johnson	Pershing, LLC	Jersey City, NJ
Stephanie Peters Mumford	T. Rowe Price Investments	Baltimore, MD
Douglas Wright	The Investment Center	Bedminster, NJ

District 10

Erin Baskett	Autonomous Research US	New York, NY
Lew Breckenridge	KKR Capital Markets	New York, NY
Tracy Calder	JP Morgan Chase & Co.	New York, NY
Dino Carfora	Morgan Stanley	New York, NY
Nina J. Ihnken	Abel/Noser Corp.	New York, NY
Patrick Langone	Morgan Stanley	New York, NY
Robert Moore	Concept Capital Markets, LLC	Garden City, NY
George Ramirez	MFR Securities, Inc.	New York, NY
Carmen Sibilía	National Securities Corp.	New York, NY
David V. Shields	Wellington Shields & Co., LLC	New York, NY
Caitlin Smith	Norfolk Markets LLC	New York, NY
Samuel Turvey	TIAA-CREF	New York, NY
Andrew Weinberg	Deutsche Bank Securities	New York, NY

2015 Committee Rosters

District 11

Norman L. Ashkenas	Fidelity Brokerage Services LLC	Boston, MA
Dennis Beirne	People's Securities	Bridgeport, CT
Lou D'Souza	Cormark Securities, Inc.	Toronto, ON
Jennifer Hoopes	Funds Distributors, LLC	Portland, ME
Jay Lanstein	Cantella & Co., Inc.	Boston, MA
Stephen Sussman	Pronet Financial Partners LLC	Londonderry, NH
David Swartz	Morgan Stanley	Wellesley, MA