2013 FINRA Regulatory Advisory Committee

District 1

Joseph F. Helmer President Caldwell Securities, Incorporated 30 Liberty Ship Way Sausalito, CA 94965

District 2

Bardea C. Huppert Vice President and COO Farmers Financial Solutions 30801 Agoura Road, Bldg #1 Agoura Hills, CA 91301

District 3

Jodee Brubaker-Rager Chief Compliance and Operations Officer Geneos Wealth Management, Inc. 9055 E. Mineral Cr. Suite 200 Centennial, CO 80112

District 4

Craig W. Markham President Walnut Street Securities, Inc. 13045 Tesson Ferry Road St. Louis, MO 63128

District 5

Rush F. Harding, III Chief Executive Officer Crews & Associates, Inc. 521 President Clinton Avenue Suite 800 Little Rock, AR 72201

District 6

Darla K. Bartkowiak Senior Vice President and CCO Amherst Securities Group, L.P. 1300 Post Oak Boulevard Suite 850 Houston, TX 77056

District 7

Brian Kovack, Esq. President Kovack Securities, Inc. 6451 North Federal Highway Suite 1201 Fort Lauderdale, FL 33308

District 8

Jeffrey V. Gery Assistant Vice President and Senior Counsel Lincoln Financial Advisors Corporation 1300 South Clinton Street Fort Wayne, IN 46802

District 9

Nancy L. Heffner Director of Compliance Lincoln Investment Planning, Inc. 218 Glenside Avenue Wyncote, PA 19095

District 10

Rebecca Ebert Managing Director and Associate General Counsel Sandler O'Neill + Partners, L.P. 1251 Avenue of the Americas, 6th Fl. New York, NY 10020

District 11

Paul J. Tolley Chief Compliance Officer Commonwealth Financial Network 29 Sawyer Road Waltham, MA 02453

FINRA Staff Liaisons:

Chip Jones John Komoroske

REVISED 11/7/12