

Attachment A—Candidates for Contested Seats

Information about each candidate is available at: <https://www.finra.org/notices/RegionalElection/CandidateProfiles>.

Midwest Region Committee/District 4 (*District 4: Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota*)

- **James Clements**, Regulatory Principal, Carson Group Brokerage, LLC
- **Basil Joseph**, Chief Compliance Officer/Chief Financial Officer, Van Clemens & Co., Inc.
- **Daniel Wright**, Chief Compliance Officer, Cambridge Investment Research, Inc.

Midwest Region Committee/District 8 (*District 8: Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin*)

- **Travis L. Bator**, Chief Compliance Officer, Harbour Investments, Inc.
- **Stephen W. Mack**, President/Owner, Mack Investment Securities, Inc.
- **Eric Wolfman**, Deputy Chief Compliance Officer, Senior Vice President and Compliance Director, Keybank Capital Markets, Inc.

North Region Committee/District 9 (*District 9: Delaware, the District of Columbia, Maryland, New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City), Pennsylvania, Virginia and West Virginia*)

- **Jason Albino**, Chief Compliance Officer, Grove Point Investments, LLC
- **Samantha Larew**, Chief Compliance Officer, Manning & Napier Investor Services, Inc.
- **Theresa J. Manderski**, Chief Compliance Officer, Davenport & Company LLC
- **Adam Scaramella**, President, Prudential Investment Management Services LLC