

**FINRA****District Compliance Seminar  
With the State of Pennsylvania****October 16, 2019 | Harrisburg, PA**

## 2019 FINRA Midwest Region Member Forum Attendee List as of October 11, 2019

First Name	Last Name	Title	Company
Jennifer	Anderson	Business Manager	McClarren Financial Advisors, Inc.
Dulcey	Antonucci	Director of Communications	Pennsylvania Department of Banking and Securities
Gary	Barnett	CEO	Digital Capital Markets, LLC
Bill	Bell	District Director	FINRA
Janet	Bentley-Ewers	Compliance	IFS Securities
Gregory	Boll	Partner	Hershey Financial Advisers, LLC
Katrina	Boyer		Pennsylvania Department of Banking and Securities
Danielle	Brandis	Registration Coordinator	FINRA
Walt	Breuninger	Senior Compliance Advisor	Vanguard
Richard	Briggs	Chief Compliance Officer	Chapin Davis Investments
Robert	Bruner	Reg Rep/Principal	Woodbury Financial Services
Anthony	Calello	Compliance Manager	Guardian Life
Valentin	Carrique	Compliance Analyst	Prudential
Vickie	Caster	Securities Examiner	Pennsylvania Department of Banking and Securities
Lee	Cavanaugh	Investment Adviser	PSI Investment Services
Anita	Check	Compliance Manager	Park Avenue Securities, LLC
Steven	Clott	Managing Member	Dedicated Investment Advisers LLC
Dane	Collins	Chief Compliance Officer	Haverford Trust Securities
Pablo	Crespo	Managing Member	CorePro Capital
Ronald	Dreese		
Donald	Duncan	Senior Compliance & AML/KYC Officer	Hamilton-Lane Securities
Craig	Ellis	COO	Centauri Advisory Group, Inc.
Kimberly	Evans	Operations Specialist	Merrill Lynch, Pierce, Fenner & Smith Incorporated
James	Farmer	District Leader	PFS Investments Inc
Kimberly	Fitzpatrick		
Michelle	Fletcher	CCO	Cedar Spring Advisors, LLC
Charles	Fletcher		
Lisa	Foote	Operations Mgr	Golden Wealth Management
John	Foster	President / CEO	Bedford and Main Financial Consulting
Leo	Furlong	CEO	Investors' Choice Securities, LLC
Lisa	Gagliano	Project Specialist	Vanguard
Matt	Gavaghan	Associate General Counsel	Janney Montgomery Scott LLC
Sarah	Gill	Director of State Relations	FINRA
Denise	Gingolaski	FinOP	Ascensus Broker Dealer Services
Corey	Golden	Managing Director	Golden Wealth Management

Heath	Goldstein	OSJ Manager	1st Financial Investments
Sarah	Green	Global Head of Financial Crimes	The Vanguard Group Inc.
Caroline	Hall	Chief Compliance Officer	Janney Montgomery Scott
Nancy	Heffner	Director of Compliance	Lincoln Investment
MaryLynne	Hixenbaugh	Chief Compliance Officer	Trustmont Financial Group, Inc.
John	Hughes	Independent Consultant	WealthForge Securities
Brian	Hull	CCO	Steben & Company
Anthony	Iacono	Supervision Manager	Merrill
Michele D	Irby	Representative	PFS Investments Inc
Steve	Irwin	Partner	Leech Tishman
Rhonda	Joy	Client Relationship Manager	Pennsylvania Municipal Retirement System
Robert	Kaehler	Chief Compliance Officer	Hornor, Townsend & Kent, LLC
Ryan	Kelly		
Caitlin	Kirby	Senior Coordinator	FINRA
Mary	Kirk	Compliance Officer - Branch Examiner	M Financial Group
Rachel	Klinger	President	McCann Wealth Strategies, Inc.
Zachary	Knepper	Deputy General Counsel	NASAA
Christina	Kotsalos	Director, Education and Outreach	Pennsylvania Department of Banking and Securities
Eric	Kuester	Director, Operations & Controls	Prudential
Brian	LaForme	Executive Deputy Secretary	Pennsylvania Department of Banking and Securities
Tana	Lee	Compliance	Wells Fargo Advisors
Gerald	Levin	President	GBL Asset Management, Inc.
Michelle	Logue	Director, Compliance	Pershing LLC
Vicki	Long	Administrative Officer	Pennsylvania Department of Banking and Securities
Doug	MacKinnon	Senior Compliance Consultant	Hardin Compliance Consultants
Stephen	Marchese	Examination Manager	FINRA - Member Supervision
Mark	Margiotta	VP, Retail Compliance Manager	Janney Montgomery Scott
Nakia	Martin	Regional Supervisory Principal	LPL Financial
Jeff	McCann	Vice President of IT	McCann
AnnMarie	McGarrigle	Surveillance Director	FINRA
Charles	McGortey	Senior Compliance Consultant	Hardin Compliance Consulting
Joe	McNulty	Examination Manager	FINRA
Gregory	McShea	General Counsel	Janney Montgomery Scott
Stuart	Mears	Associate Supervision Manager	Merrill, A Bank of America Company
Kimberly	Middleton	Compliance Officer	United Brokerage Services, Inc.
Michael	Miliovich	President	Miliovich & Co., Inc.
Joseph	Minisi	Deputy Secretary for Securities	Pennsylvania Department of Banking and Securities
Thomas	Murphy	Senior Compliance Officer	Vanderbilt Securities LLC
Elizabeth	Newman	Division Supervision Manager	Merrill
Joseph	Nguyen	VP, Supervision Manager	Bank of America/Merrill Lynch
Amber	Nicklow	Chief, Central Region	Pennsylvania Department of Banking and Securities
Meredith	Noll	Deputy Communications Director	Pennsylvania Department of Banking and Securities
Yvette	Panetta	District Director	FINRA
Melissa	Patton	Market Administration Manager	Wells Fargo Advisors
Kristin	Pearson	CCO	Invicta Capital, LLC

Eric	Pistilli	Director of Securities Licensing	Pennsylvania Department of Banking and Securities
Dale	Pope	President & CEO	MerCap Securities, LLC
Robert	Relitz	Agency Owner	Horace Mann
Eli	Renshaw	Examination Manager	FINRA
Cory	Roberson	Principal	FIN Compliance
Denise	Rodgers	Compliance Officer	Rodgers Brothers Inc.
Patricia	Romig	Field Compliance	MassMutual
Gillian	Rosenstein	Program Manager	FINRA
Holly	Scavetta	Associate Director	FINRA
James	Seward	Senior Compliance Analyst	Vanguard
Jody	Sharer	CCO	Nestlerode & Loy, Inc.
Joseph	Sheirer	District Director	FINRA
Glenn	Skreppen	Director, Bureau of Securities Compliance and Examinations	Pennsylvania Department of Banking and Securities
Vicki-Sue	Slater	Manager II, Meetings	FINRA
Alan	Smith	Deputy GC	Janney Montgomery Scott LLC
Jeff	Soderstedt	Director, Office of Corporation Finance	Pennsylvania Department of Banking and Securities
Victor	Sosa	Examination Manager	FINRA
Jeanna	Stecklein	Regional Branch Manager	Transamerica Financial Advisors, Inc.
Linda	Stump	Chief Compliance Officer	P.J. Robb Variable Corp.
Mary	Suplee		Structured Asset Management
Brian	Sweeney	Chief Compliance Officer	Thurston Springer
Kayte	Toczykowski	Associate Director	FINRA
Steve	Vaughn	Secretary	Pennsylvania Municipal Retirement System
Christine	Warner	Chief Compliance Officer	Fortune Financial Services, Inc.
Brett	Warren		Leech Tishman
Julie	Weilehowski		
Robin	Wiessmann	Secretary of Banking and Securities	Pennsylvania Department of Banking & Securities
Ryan	Woolery	Associate Supervision Manager	Merrill
Collett	Yerkins	Associate Manager, O & C	Prudential
Dayle	Young	Division Leader	Primerica Financial Services
Jennifer	Zabierek		
Teresa	Zajac	VP Operations & CCO	PST Advisors