

INFORMATIONAL

District Elections

Nominees For District Committees And District Nominating Committees**SUGGESTED ROUTING**

The Suggested Routing function is meant to aid the reader of this document. Each NASD member firm should consider the appropriate distribution in the context of its own organizational structure.

- Legal & Compliance
- Operations
- Registration
- Senior Management

KEY TOPICS

- District Elections

Executive Summary

The purpose of this *Special Notice to Members* is to announce the nominees for the District Committees and the District Nominating Committees. The individuals identified in this *Special Notice to Members* (see Attachment A) have been nominated for three-year terms on the District Committees and for one-year terms on the District Nominating Committees starting in January 2001. These nominees will be considered duly elected on October 2, 2000, unless an election is contested in accordance with the procedures summarized below.

We appreciate the interest shown by many of you in participating in the District Committees and thank everyone for their continuing support of the self-regulatory process. We look forward to your participation in the matters of the Districts during the coming year, as well as hope that those who were not selected this year will revisit this process next year.

Contested Election Procedures

If an officer, director, or employee of a National Association of Securities Dealers, Inc. (NASD[®]) member is interested in being considered as an additional candidate, he/she must indicate his/her interest to the District Director by **September 15, 2000**. If an additional candidate does not come forward by that date, the election of committee members is final.

If, however, an additional candidate(s) does come forward by that date, the candidate has until **October 2, 2000** to submit a petition to the District Nominating Committee with signatures from at least 10 percent of Executive Representatives of members eligible to vote in the District.

If no additional candidates submit petitions by October 2, 2000, then the candidates nominated by the District Nominating Committee shall be considered elected, and the District Committee shall certify the election to the Board of Directors of NASD Regulation.

Additional information pertaining to the District Election Procedures can be found in Article VIII of the By-Laws of NASD Regulation.

Questions/Further Information

Questions concerning this *Special Notice* may be directed to the District Director noted in Attachment A or to Joan Conley, Senior Vice President and Corporate Secretary, NASD, at (202) 728-8381 or via e-mail at: joan.conley@nasd.com.

Attachment A

District Committee And District Nominating Committee Nominees

District 1

Elisabeth P. Owens, District Director
525 Market Street, Suite 300
San Francisco, CA 94105
(415) 882-1200

Northern California (the counties of Monterey, San Benito, Fresno, and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye, and the remainder of the state north or west of such counties), and Hawaii

2000 District Nominating Committee Chairperson

John E. Schmidt
Credit Suisse First Boston Corporation
San Francisco, CA

District Committee Nominees

Carol Van Bruggen
Securities Service Network, Inc.
Sacramento, CA

Susan K. Campbell
Protected Investors of America
San Francisco, CA

William C. Pack
Salomon Smith Barney Inc.
San Francisco, CA

District Nominating Committee Nominees

Steven R. Aaron
Hambrecht & Quist LLC
San Francisco, CA

Stephen R. Adams
First Security Van Kasper
San Francisco, CA

Nicholas C. Cochran
American Investors Company
Dublin, CA

John C. Helmer
Caldwell Securities, Inc.
Danville, CA

William A. Svoboda
Morgan Stanley Dean Witter Reynolds
San Jose, CA

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District 2

Lani M. Sen Woltmann, District Director
300 South Grand Avenue, Suite 1600
Los Angeles, CA 90071
(213) 627-2122

Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno, and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye), and the former U.S. Trust Territories

2000 District Nominating Committee Chairperson

Robert L. Winston
American Funds Distributors, Inc.
Los Angeles, CA

District Committee Nominees

James E. Biddle
The Securities Center Incorporated
Chula Vista, CA

Chris M. Kanoff
Jefferies & Company, Inc.
Los Angeles, CA

Steven K. McGinnis
National Planning Corporation
Santa Monica, CA

Neal E. Nakagiri
Associated Securities Corporation
Los Angeles, CA

District Nominating Committee Nominees

Murray L. Finebaum
Trading Edge, Inc.
Santa Monica, CA

Jerry M. Gluck
Jefferies & Company, Inc.
Los Angeles, CA

James B. Guillou
Sutro & Co., Incorporated
La Jolla, CA

Joan B. Seidel
Morton Seidel & Company, Inc.
Beverly Hills, CA

Kaye M. Woltman
Girard Securities, Inc.
San Diego, CA

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District 3

Frank J. Birgfeld, District Director
Republic Plaza Building
370 17th Street, Suite 2900
Denver, CO 80202-5629
(303) 446-3100

Arizona, Colorado, New Mexico, Utah, and Wyoming

James G. Dawson, District Director
Two Union Square
601 Union Street, Suite 1616
Seattle, WA 98101-2327
(206) 624-0790

Alaska, Idaho, Montana, Oregon, and Washington

2000 District Nominating Committee Chairperson

Anthony Petrelli
Neidiger, Tucker, Bruner, Inc.
Denver, CO

District Committee Nominees

Richard B. Bequett
CUE
Phoenix, AZ

George Diachok
Multi-Financial Securities Corp.
Denver, CO

John M. Rose
Seattle-Northwest Securities Corp.
Seattle, WA

Kathryn A. Supko
Robert W. Baird & Co., Inc.
Boise, ID

District Nominating Committee Nominees

J. Wendell Garrett
J.W. Garrett & Company
Phoenix, AZ

Thomas R. Hislop
Peacock, Hislop, Staley & Given, Inc.
Phoenix, AZ

John Morton
Morton Clarke Fu & Metcalf, Inc.
Seattle, WA

Thomas Petrie
Petrie Parkman & Co., Inc.
Denver, CO

Douglas Strand
Strand, Atkinson, Williams & York, Inc.
Portland, OR

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District 4

Thomas Clough, District Director
120 W. 12th Street, Suite 900
Kansas City, MO 64105
(816) 421-5700

Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota

2000 District Nominating Committee Chairperson

Todd W. Miller
Miller, Johnson & Kuehn, Incorporated
Minneapolis, MN

District Committee Nominees

Gene M. Diedrich
A.G. Edwards & Sons, Inc.
Overland Park, KS

Jonathan M. Harris
Dain Rauscher, Inc.
Minneapolis, MN

Timothy J. Lyle
Trusted Securities Advisors Corp.
Minnetonka, MN

Pamela Kay Reinitz Ziermann
Dougherty & Company
Minneapolis, MN

District Nominating Committee Nominees

Antonio J. Cecin
U.S. Bancorp Piper Jaffray Inc.
Minneapolis, MN

John D. Cleland
Security Distributors, Inc.
Topeka, KS

Cheryl Cook-Schneider
Edward Jones
St. Louis, MO

Wayne H. Peterson
Cap Pro Brokerage Services, Inc.
Minneapolis, MN

Brent Weisenborn
Security Investment Company of Kansas City
Kansas City, MO

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District 5

Warren A. Butler, Jr., District Director
1100 Poydras Street
Energy Centre, Suite 850
New Orleans, LA 70163-0802
(504) 522-6527

Alabama, Arkansas, Kentucky, Louisiana, Mississippi, Oklahoma, and Tennessee

2000 District Nominating Committee Chairperson

Jerry Roberts
Sterne, Agee & Leach, Inc.
Little Rock, AR

District Committee Nominees

Norman Frager
Capital West Securities, Inc.
Oklahoma City, OK

David A. Knight
Stephens Inc.
Little Rock, AR

Lawrence J. Sisung
Sisung Securities Corporation
New Orleans, LA

David W. Wiley, III
Wiley Bros., Aintree Capital, LLC
Nashville, TN

District Nominating Committee Nominees

Benjamin D. Capshaw, III
Morgan Stanley Dean Witter
New Orleans, LA

V. Hugo Marx, III
Hugo Marx & Co., Inc.
Birmingham, AL

Colin A. P. McNease
PaineWebber Incorporated
Jackson, MS

Jerry Roberts
Sterne, Agee & Leach, Inc.
Little Rock, AR

Dene R. Shipp
SunTrust Equitable Securities, Inc.
Nashville, TN

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District 6

Bernerd Young, District Director
12801 N. Central Expressway, Suite 1050
Dallas, TX 75243
(972) 701-8554

Texas

2000 District Nominating Committee Chairperson

William B. Madden
Madden Securities Corporation
Dallas, TX

District Committee Nominees

Christopher R. Allison
M.E. Allison & Co. Inc.
San Antonio, TX

David W. Turner
First Union Securities Inc.
Fort Worth, TX

R. Dwayne Whitehead
Coastal Securities, L.P.
Houston, TX

District Nominating Committee Nominees

Jane E. Bates
The Variable Annuity Marketing Company
Houston, TX

William D. Connally
Greenman Parker Connally Greenman, Inc.
Fort Worth, TX

Malcolm L. Cooper
Dain Rauscher, Inc.
Austin, TX

Daniel C. Dooley
Maplewood Investment Advisors, Inc.
Dallas, TX

William H. Lowell
Lowell & Company, Inc.
Lubbock, TX

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District 7

Alan M. Wolper, District Director
One Securities Centre, Suite 500
3490 Piedmont Road, NE
Atlanta, GA 30305
(404) 239-6100

Florida, Georgia, North Carolina, South Carolina, Virginia, Puerto Rico, the Canal Zone, and the Virgin Islands

2000 District Nominating Committee Chairperson

Franklin C. Golden
James M. Myer & Co., Inc.
Charlotte, NC

District Committee Nominees

Kenneth W. McGrath
Popular Securities, Inc.
Hato Rey, PR

Sharon K. Milligan
Morgan Stanley Dean Witter
Tampa, FL

C. John O'Bryant, III
Legg Mason Wood Walker, Inc.
Raleigh, NC

Charles R. Roberts
Branch, Cabell & Co., Inc.
Richmond, VA

District Nominating Committee Nominees

Robert M. Balentine
Balentine & Co.
Atlanta, GA

Robert J. Brietz
Marion Bass Securities Corp.
Charlotte, NC

M. Anthony Greene
Raymond James Financial Services, Inc.
Atlanta, GA

R. Charles Shufeldt
SunTrust Banks, Inc.
Atlanta, GA

Raymond W. Snow
Merrill Lynch
Palm Beach, FL

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District 8

Carlotta A. Romano, District Director
10 South LaSalle, 20th Floor
Chicago, IL 60603-1002
(312) 899-4400

Illinois, Indiana, Michigan, and Wisconsin

William H. Jackson, Jr., District Director
Renaissance on Playhouse Square
1350 Euclid Avenue, Suite 650
Cleveland, OH 44115
(216) 694-4545

Ohio and part of upstate New York (the counties of Monroe, Livingston, and Steuben, and the remainder of the state west of such counties)

2000 District Nominating Committee Chairperson

Paul E. Murin
David A. Noyes & Company
Chicago, IL

District Committee Nominees

George E. Bates
Bates Securities, Inc.
Rockford, IL

Gregory W. Goelzer
Goelzer Investment Management, Inc.
Indianapolis, IN

John A. Hawke
Howe Barnes Investments, Inc.
Chicago, IL

Jay B. MacKenzie
Prudential Securities Incorporated
Kalamazoo, MI

District Nominating Committee Nominees

Leonard L. Anderson
Stifel Nicolaus & Company, Incorporated
Grand Haven, MI

David L. Baker
Baker & Company, Inc.
Cleveland, OH

Thomas Harenburg
Carl M. Hennig, Inc.
Oshkosh, WI

David Slavik
Pershing Division of Donaldson, Lufkin & Jenrette
Securities Corporation
Oak Brook, IL

G. Donald Steel
Planned Investment Co., Inc.
Indianapolis, IN

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District 9

John P. Nocella, District Director
11 Penn Center
1835 Market Street, Suite 1900
Philadelphia, PA 19103
(215) 665-1180

Delaware, Pennsylvania, West Virginia, District of Columbia, Maryland, and the part of southern New Jersey in the immediate Philadelphia vicinity

Gary K. Liebowitz, District Director
581 Main Street, 7th Floor
Woodbridge, NJ 07095
(732) 596-2000

New Jersey (except southern New Jersey in the immediate Philadelphia vicinity)

2000 District Nominating Committee Chairperson

Mark W. Cresap
Cresap, Inc.
Radnor, PA

District Committee Nominees

Jerry V. Duhovic
Datek Online Brokerage Services LLC
Iselin, NJ

Kimberly Tillotson Fleming
Hefren-Tillotson, Inc.
Pittsburgh, PA

Howard B. Scherer
Janney Montgomery Scott LLC
Philadelphia, PA

Mark Thomas Whaley
Gibraltar Securities Co., a division of Tucker Anthony
Incorporated
Florham Park, NJ

District Nominating Committee Nominees

Philip S. Cottone
Rutherford, Brown & Catherwood, LLC
Philadelphia, PA

Victor M. Frye
Calvert Distributors, Inc.
Bethesda, MD

Allen S. Jacobson
Gibraltar Securities Co., a division of Tucker Anthony
Incorporated
Florham Park, NJ

James J. Malespina
Herzog, Heine, Geduld, Inc.
Jersey City, NJ

Jerome J. Murphy
Janney Montgomery Scott, LLC
Philadelphia, PA

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District 10

David A. Leibowitz, District Director
NASD Financial Center
33 Whitehall Street
New York, NY 10004
(212) 858-4000

The five boroughs of New York City, and Long Island

2000 District Nominating Committee Chairperson

Joan S. Green
BT Brokerage Corporation
New York, NY

District Committee Nominees

Constantine Gus Economos
Sandler O'Neill & Partners LP
New York, NY

Ruth S. Goodstein
Paine Webber Inc.
New York, NY

Patrick Remmert
Credit Suisse First Boston Corporation
New York, NY

Charles V. Senatore
Merrill Lynch Pierce Fenner & Smith Inc.
New York, NY

Jeffrey Zuckerman
Salomon Smith Barney Inc.
New York, NY

District Nominating Committee Nominees

Arthur S. Ainsberg
Brahman Securities, Inc.
New York, NY

Laurence H. Bertan
Sanford C. Bernstein & Co. Inc.
New York, NY

Frank F. DiGregorio
Credit Suisse First Boston Corporation
New York, NY

Harold G. Ognelodh
Salomon Smith Barney Inc.
New York, NY

Vicki Z. Holleman
Loeb Partners Corporation
New York, NY

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District 11

Fred McDonald, District Director
260 Franklin Street, 16th Floor
Boston, MA 02110
(617) 261-0800

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont, and New York (except for the counties of Monroe, Livingston, and Steuben; and the five boroughs of New York City, and Long Island)

2000 District Nominating Committee Chairperson

Edward L. Sherr
Carl P. Sherr & Company
Worcester, MA

District Committee Nominees

Stephen Anikewich, Jr.
Warburg Dillon Read LLC
Stamford, CT

John I. Fitzgerald
American General Funds Distributors, Inc.
Boston, MA

Robert V. Rodia
People's Securities, Inc.
Bridgeport, CT

Gregory D. Teese
Equity Services Inc.
Montpelier, VT

District Nominating Committee Nominees

Harry H. Branning
Advest, Inc.
Hartford, CT

Stephanie Brown
Linsco/Private Ledger Corp.
Boston, MA

Sheldon Fechter
Fechter, Detwiler & Co., Inc.
Boston, MA

Arthur F. Grant
Cadaret, Grant & Co., Inc.
Syracuse, NY

Frank V. Knox, Jr.
Fidelity Distributors Corporation
Boston, MA

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