

Candidate Nomination and Profile Form—Regional Committee Election

Please complete all sections on both pages and email this document to CorporateSecretary@finra.org. Please note the second page will be made available publicly on our website. An electronic version of this form is also available at www.finra.org/notices/RegionalElection/090622.

Name: _____ Date: _____

(As you would like it to appear on official correspondence)

Current Registration

Title/Primary Responsibility: _____

Firm Name: _____

Firm CRD#: _____ Individual CRD#: _____

FINRA District No.: _____ Number of Registered Reps. at Firm: _____

Address

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

Regional Committee Seat Sought

Select only one of the seats listed below.

- **Midwest Region Committee:**
 - District 4 Representative
 - District 8 Representative
- **New York Region Committee:**
 - District 10 Representative
- **North Region Committee:**
 - District 9 Representative
 - District 11 Representative
- **South Region Committee:**
 - District 5 Representative
 - District 6 Representative
 - District 7 Representative
- **West Region Committee:**
 - District 1 Representative
 - District 2 Representative
 - District 3 Representative

Eligibility Criteria (must meet all three criteria)

- Associated with a FINRA member headquartered in the district they are seeking to represent on the Regional Committee
- Registered in the capacity of a branch manager or principal or denoted as a corporate officer of the FINRA member
- Your primary place of business must be in the same district as the firm's main office

INSTRUCTIONS FOR PAGE 2

The information on the following page will be displayed on FINRA's Regional Committee election web page as submitted. Please carefully review the information before submission.

Provide a brief biography or summary of your qualifications to serve on the Regional Committee. You may want to consider including your employment experience, service on other industry-related boards and committees, etc. Provide a statement of why you are running for a seat on the Regional Committee and why firms should vote for you. (No more than 500 words.)

Candidate Profile Form—Regional Committee Election

Candidate Name:

Title:

Firm:

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:
