

Candidate Nomination and Profile Form—SFAC 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.

Eligibility Criteria *(must meet all criteria)*

- Senior member of a small firm. (Senior members include owners, chief executive officers, presidents, chief compliance officers, chief operating officers, the firm's FINOP or individuals of comparable status.)
- Firm's main office is in the North or West Region.

Name: _____ Individual CRD#: _____

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

Current Registration

Title _____

Firm Name: _____ Firm CRD#: _____

Address

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

SFAC Seat Sought

Select only one of the seats listed below.

- **North Region:** Connecticut, Delaware, the District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City), Pennsylvania, Rhode Island, Vermont, Virginia and West Virginia (Districts 9 and 11)
- **West Region:** Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming and the former U.S. Trust Territories (Districts 1, 2 and 3)

INSTRUCTIONS FOR PAGE 2

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

Provide a brief biography or summary of your qualifications to serve as an SFAC member. 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 an SFAC seat and why firms should vote for you. (No more than 500 words.)

Candidate Profile Form—SFAC Election *(this page will be displayed on finra.org)*

Candidate Name: _____

Title: _____ Firm: _____

Candidate Biography and Personal Statement *(500 word limit)*

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____