

Election Notice

Call for Candidates for Upcoming FINRA Regional Committee Elections

Nomination Deadline: October 6, 2025

Summary

The purpose of this *Notice* is to inform member firms about the upcoming nomination and election process to fill vacancies on FINRA's Regional Committees.

As a self-regulatory organization, FINRA is committed to deep engagement with its member firms, including through FINRA's Regional Committees. The Regional Committees play an important part of informing FINRA's regulatory programs by, among other things, alerting FINRA to industry trends that could present regulatory concerns and consulting with FINRA on proposed policies and rule changes. Regional Committees generally meet twice per year, primarily in person at locations within their respective regions (meeting schedules and frequency vary by region). Regional Committee members also may serve on disciplinary panels in accordance with FINRA rules.

In this election, the South and West regions each have six full-term vacancies to fill, and the Midwest, North and New York regions each have four full-term vacancies to fill. Eligible candidates will be included on the appropriate ballot if they submit a [candidate profile form](#) via [email](#) to FINRA's Corporate Secretary by **October 6, 2025**.

On or about October 20, 2025, FINRA will email the official *Election Notice* to the executive representatives¹ of FINRA member firms eligible to vote in the elections and FINRA's election agent will follow up with voting instructions (from the email address finraagent@proxy-agent.com). Voting will conclude in November 2025. The newly elected Regional Committee members will take office in January 2026 for three-year terms.

Questions concerning this *Election Notice* may be directed to:

- ▶ Jennifer Piorko Mitchell, Vice President – Corporate Governance and Deputy Corporate Secretary, at (202) 728-8949 or via [email](#); or
- ▶ Kayte Toczylowski, Vice President, Member Relations and Education, at (215) 209-7087 or via [email](#).

September 4, 2025

Suggested Routing

- ▶ Branch Managers
- ▶ Executive Representatives
- ▶ Senior Management

Background

Committee members must have the experience, ability and commitment to fulfill responsibilities including:

- ▶ understanding issues facing the securities industry and applying relevant knowledge and expertise to these issues to develop solutions;
- ▶ educating firms in their districts about FINRA's responsibilities;
- ▶ regularly attending and participating in a collegial manner in Regional Committee meetings; and
- ▶ remaining objective and unbiased in the performance of Regional Committee matters, regardless of the interests of their firm.

Committee members also must adhere to the following prohibitions and restrictions:

- ▶ avoiding conflicts, such as those that can arise from firm-related work and service on industry committees, as an expert witness, hearing panelist or arbitrator, and refraining from participation in a particular matter when a conflict exists;
- ▶ refraining from using their membership on the Regional Committee for commercial purposes, for qualifying as an expert or suggesting special access to FINRA; and
- ▶ keeping sensitive, non-public or proprietary information confidential.

Committee members derive benefits from serving on Regional Committees, including fee waivers for registration to FINRA conferences and opportunities to network with other firms in their district and region. Regional Committee service also provides opportunities to interact with senior FINRA staff.

A list of the current Regional Committee members is available [online](#).

Nomination Process and Eligibility

Individuals interested in seeking a district representative seat on a Regional Committee must complete a [candidate profile form](#) and submit it to FINRA's Corporate Secretary via [email](#) by October 6, 2025.

Any individual who submits a profile form and meets the qualifications² will be included on the relevant ballot. Specifically, Regional Committee members must:

1. be associated with a FINRA member headquartered in the district they seek to represent on the Regional Committee; and
2. be registered in the capacity of a branch manager or principal or denoted as a corporate officer of the FINRA member.³

FINRA encourages current and former committee members to assist in soliciting candidates to serve on these committees.

Composition, Terms and Vacancies

Each Regional Committee⁴ has six elected members from each district⁵ within that committee's region, except for the New York Region (its 12 members are all based in one district, District 10). Regional Committees representing three districts (*i.e.*, the South and West regions) have 18 members, while those representing one or two districts (*i.e.*, New York, Midwest and North regions) have 12 members.

Successful candidates will be elected to three-year terms, from January 1, 2026, to December 31, 2028. There is no limit on the number of terms that Regional Committee members may serve, except that they may serve no more than two full terms consecutively. Regional Committee members must continue to meet the eligibility requirements at all times while serving on the committee.

The vacancies being filled in this election are as follows:

Midwest Region Committee:

- ▶ Four Vacancies:
 - Two vacancies in District 4
 - Two vacancies in District 8

New York Region Committee:

- ▶ Four vacancies (all vacancies in District 10)

North Region Committee:

- ▶ Four Vacancies:
 - Two vacancies in District 9
 - Two vacancies in District 11

South Region Committee:

- ▶ Six Vacancies:
 - Two vacancies in District 5
 - Two vacancies in District 6
 - Two vacancies in District 7

West Region Committee:

- ▶ Six Vacancies:
 - Two vacancies in District 1
 - Two vacancies in District 2
 - Two vacancies in District 3

Voting Eligibility

Firms are eligible to vote for candidates running for the seats representing the district where the firm is headquartered.⁶ Firm eligibility will be verified on the day ballots are mailed.

Endnotes

1. Pursuant to FINRA Rule 4517, firms must update their contact information promptly, but in any event not later than 30 days following any change in such information, as well as review and, if necessary, update the information within 17 business days after the end of each calendar year. To update an executive representative's name, mailing address and email address, firms may access the FINRA Contact System, via [FINRA Gateway](#). Additionally, firms must comply with any FINRA request for such information promptly, but in any event not later than 15 days following the request, or such longer period that may be agreed to by FINRA staff. See FINRA Rule 4517.
2. See FINRA Regulation By-Laws, Article VIII, Section 8.2.
3. A firm's managing director meets the qualification requirement.
4. Pursuant to FINRA Regulation By-Laws, Article VIII, Section 8.1, FINRA's Regions are: Midwest Region: Districts 4 and 8; New York Region: District 10; North Region: Districts 9 and 11; South Region: Districts 5, 6 and 7; West Region: Districts 1, 2 and 3.
5. Pursuant to FINRA Regulation By-Laws, Article VIII, Section 8.1, FINRA's Districts are as follows:
 - **District No. 1** State of Hawaii; in the State of California, the Counties of Monterey, San Benito, Fresno and Inyo, and the remainder of the State North or West of such Counties; and in the State of Nevada, the Counties of Esmeralda and Nye, and the remainder of the State North or West of such Counties.
 - **District No. 2** In the State of California, that part of the State South or East of the Counties of Monterey, San Benito, Fresno and Inyo; and, in the State of Nevada, that part of the State South or East of the Counties of Esmeralda and Nye, and all Pacific possessions and territories of the United States.
 - **District No. 3** States of Alaska, Arizona, Colorado, Idaho, Montana, New Mexico, Oregon, Utah, Washington and Wyoming.
 - **District No. 4** States of Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota and South Dakota.
 - **District No. 5** States of Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee.
 - **District No. 6** State of Texas.
 - **District No. 7** States of Florida, Georgia, North Carolina, and South Carolina, Puerto Rico and the Virgin Islands.
 - **District No. 8** States of Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin.
 - **District No. 9** The District of Columbia, and the States of Delaware, Maryland, New Jersey, Pennsylvania, Virginia, West Virginia, and New York (except for the five Boroughs of New York City and the Counties of Nassau and Suffolk).
 - **District No. 10** In the State of New York, the five Boroughs of New York City and the Counties of Nassau and Suffolk.
 - **District No. 11** States of Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.
6. A FINRA member is headquartered where it designates its main address on the member's Form BD.

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.

Eligibility Criteria *(must meet all 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

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:

Regional Committee Seat Sought *Select only one of the seats listed below. (Qualified registered representatives are eligible to represent the region/district where their firm is headquartered.)*

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

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 3,000 characters - approximately 500 words.)

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

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement *(3,000 character limit - approximately 500 words)*

Optional Link:

LinkedIn Profile: _____