

## Candidate Nomination and Profile Form—SFAC Election (New York Region)

Please complete all sections on both pages and email this document to [CorporateSecretary@finra.org](mailto: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 New York Region.

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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: \_\_\_\_\_

## 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 3,000 characters, approximately 500 words.)

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

Candidate Name:

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Title:

Firm:

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

**Optional Link:**

LinkedIn profile:

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