

Election Notice

Call for Candidates for Upcoming FINRA Regional Committee Elections

Nomination Deadline: November 19, 2026

Summary

FINRA is seeking candidates to fill vacancies on its Regional Committees. The South and West regions each have six vacancies, and the Midwest, North and New York regions each have four vacancies. Eligible individuals interested in serving on a Regional Committee must submit a [Candidate Profile Form](#) to FINRA's Corporate Secretary by November 19, 2026.

Election materials will be distributed to eligible voting firms on or about November 30, 2026, with successful candidates beginning three-year terms in January 2027.

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

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

Background

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.

October 20, 2026

Suggested Routing

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

Committee members are expected to:

- ▶ share industry expertise and help address issues affecting the securities industry;
- ▶ educate firms in their district about FINRA's role and responsibilities;
- ▶ actively and collegially participate in Regional Committee meetings; and
- ▶ remain objective and impartial in committee matters, regardless of their firm's interests.

Committee members also must:

- ▶ avoid and disclose conflicts of interest, and recuse themselves when conflicts exist;
- ▶ refrain from using committee membership for commercial, professional or personal advantage; and
- ▶ protect confidential, non-public and proprietary information.

Regional Committee service provides opportunities to network with industry peers, engage with senior FINRA staff and contribute expertise on issues affecting the securities industry. Members also receive registration fee waivers for FINRA conferences.

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 November 19, 2026.

Any individual who submits a profile form and meets the qualifications¹ 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.²

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

Composition, Terms and Vacancies

Each Regional Committee³ has six elected members from each district⁴ 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, 2027, to December 31, 2029. 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:

Region Committee	Total Vacancies	District Breakdown
Midwest	4	▶ Two vacancies in District 4 ▶ Two vacancies in District 8
New York	4	▶ Four vacancies (all vacancies in District 10)
North	4	▶ Two vacancies in District 9 ▶ Two vacancies in District 11
South	6	▶ Two vacancies in District 5 ▶ Two vacancies in District 6 ▶ Two vacancies in District 7
West	6	▶ 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.⁵ Firm eligibility will be verified on the day ballots are mailed.

Endnotes

1. See FINRA Regulation By-Laws, Article VIII, Section 8.2.
2. A firm's managing director meets the qualification requirement.
3. 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.
4. 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.
5. 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. The biography should contain only factual information, such as employment experience, service on other industry-related boards and committees, education credentials, etc. (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: