

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: