

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 South* or Midwest* Region.

* **South Region** – Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, Panama, South Carolina, Tennessee, Texas, and the Virgin Islands (Districts 5, 6 and 7)

** **Midwest Region** – Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin (Districts 4 and 8)

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. The biography should contain only factual information, such as employment experience, service on other industry-related boards and committees, educational credentials, etc.
(No more than 3,000 characters, approximately 500 words.)

Candidate Profile Form—SFAC 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: