FINRA Small Firm Advisory Board
Candidate Profile Form

Name: CRD#:

(as you would like it to appear on official correspondence)

Current Registration

Firm Name Firm #:

FINRA District No.: Number of Registered Representatives at Firm:

Title/Primary Responsibility:

Address:

City: State: Zip:

Phone: Fax:

Email:

Prior Registration *(List the most recent first. Feel free to include extra pages if necessary.)*

Firm:

Title/Primary Responsibility:

Firm:

Title/Primary Responsibility:

General Areas of Expertise
(please check all that apply)

- ☐ Compliance/Legal
- ☐ Corporate Finance
- ☐ Financial/Operational
- ☐ Institutional Sales
- ☐ Investment Advisory
- ☐ Retail Sales
- ☐ Trading/Market Making
- ☐ Other

Product Expertise
(please check all that apply)

- ☐ Corporate Bonds
- ☐ Direct Participation Programs
- ☐ Equity Securities
- ☐ Investment Company
- ☐ Municipal/Government Securities
- ☐ Options
- ☐ Variable Contracts Securities
- ☐ Other

Memberships/Positions Held in Trade or Business Organizations

Provide a brief biography or summary of your qualifications to serve as an SFAB member. You may want to consider including your employment experience, service on other industry-related boards and committees, etc. (No more than 250 words)

Provide a statement of why you are running for an SFAB seat and why firms should vote for you to represent them on the SFAB. (No more than 250 words)

Return the form by fax to: (202) 728.8075 or by email to: CorporateSecretary@finra.org