



District Election Candidate Profile Form – Instructions

Please complete each section of the candidate profile form in its entirety. Short answer fields will expand as necessary. Forms must be submitted by **Thursday, December 31, 2009**.

This candidate profile form may be completed electronically and submitted to the appropriate FINRA District Director via email (see below). If you do not complete this form electronically, be sure to print all of your responses.

In order to save this form with your information, you will need to select “File” and then “Save As,” and save it in MS Word format (as a .doc file). After you complete the form, email it as an attachment.

If you have questions, please contact the appropriate District Director.

District	Director(s)	Email Address
District 1	Christian A. Zrull	Christian.Zrull@finra.org
District 2	David A. Greene	David.Greene@finra.org
District 3	Joseph M. McCarthy	Joseph.McCarthy@finra.org
	Michael E. Lewis	Michael.Lewis@finra.org
District 4	Thomas D. Clough	Tom.Clough@finra.org
District 5	Keith E. Hinrichs	Keith.Hinrichs@finra.org
District 6	Michael G. Rufino	Michael.Rufino@finra.org
District 7	Daniel J. Stefek	Daniel.Stefek@finra.org
	Mitchell C. Atkins	Mitch.Atkins@finra.org
District 8	Carla A. Romano	Carla.Romano@finra.org
District 9	Gary K. Liebowitz	Gary.Liebowitz@finra.org
	Robert B. Kaplan	Robert.Kaplan@finra.org
District 10	Hans L. Reich	Hans.Reich@finra.org
District 11	Elizabeth F. Page	Elizabeth.Page@finra.org



Candidate Profile Form

Indicate the position for which you wish to be considered		
District Committee	OR	District Nominating Committee
For FINRA District No.:		

Current Registration			
Name: _____	CRD # _____		
<i>(As you would like it to appear on official correspondence)</i>			
Firm Name: _____	Firm CRD#: _____		
Title/Primary Responsibility: _____			
Address: _____			
Street Address _____		Suite/Floor _____	
City _____		State _____	ZIP Code _____
Email: _____	Phone: () _____		

Prior Registrations (List the most recent first)	
Firm: _____	
Title/Primary Responsibility: _____	
Firm: _____	
Title/Primary Responsibility: _____	
Firm: _____	
Title/Primary Responsibility: _____	
Firm: _____	
Title/Primary Responsibility: _____	

General Areas of Expertise <i>(please check all that apply)</i>	Product Expertise <i>(please check all that apply)</i>
<input type="checkbox"/> Compliance/Legal	<input type="checkbox"/> Corporate Bonds
<input type="checkbox"/> Corporate Finance	<input type="checkbox"/> Direct Participation Programs
<input type="checkbox"/> Financial/Operational	<input type="checkbox"/> Equity Securities
<input type="checkbox"/> Institutional Sales	<input type="checkbox"/> Investment Company
<input type="checkbox"/> Investment Advisory	<input type="checkbox"/> Municipal/Government Securities
<input type="checkbox"/> Retail Sales	<input type="checkbox"/> Options
<input type="checkbox"/> Trading/Market Making	<input type="checkbox"/> Variable Contracts Securities
<input type="checkbox"/> Other	<input type="checkbox"/> Other
If "Other" please explain: _____	If "Other" please explain: _____

Memberships/Positions in Trade or Business Organizations

Past NASD or FINRA Experience and Dates of Service (please check all that apply)		
<input type="checkbox"/> Committee Member (Identify committee(s)):	Approx. Dates:	to
<input type="checkbox"/> Arbitrator	Approx. Dates:	to
<input type="checkbox"/> Mediator	Approx. Dates:	to
<input type="checkbox"/> Expert Witness (arbitrations, disciplinary proceedings):	Approx. Dates:	to
<input type="checkbox"/> Other:	Approx. Dates:	to
Educational Background		
School:	Degree:	
School: _____	Degree: _____	
School: _____	Degree: _____	

Return completed candidate profile forms to the appropriate District Director on or before December 31, 2009.