

Special Notice to Members

JUNE 7, 2004

INFORMATIONAL

SUGGESTED ROUTING

Executive Representatives
Legal & Compliance
Operations
Registration
Senior Management

KEY TOPICS

District Elections

District Elections

NASD Informs Members of Upcoming District Committee and District Nominating Committee Elections

Executive Summary

The purpose of this *Special Notice to Members* is to inform members of the upcoming nomination and election process to fill forthcoming vacancies on NASD District Committees and District Nominating Committees.

Information on District Committee and District Nominating Committee members currently serving through 2005, 2006, and 2007 is included in Attachment A. Information on District Election Procedures is included in Attachment B. A blank candidate profile sheet is also included (Attachment C).

Nomination Process

Individuals from member firms of all sizes and segments of the industry are encouraged to submit names for consideration for membership on the 11 District Committees and District Nominating Committees. In this election, each District Committee will have three vacancies to fill, with the exception of District 10, which will have four. The term of office for District Committee members is three years. Each District Nominating Committee will have five vacancies to fill for a one-year term. Members are requested to submit candidates' names to the appropriate District Director by submitting a cover letter and completed candidate profile sheet (Attachment C) by July 26, 2004.

To serve as a member of a District Committee or District Nominating Committee, an individual must: (1) be employed by an NASD member eligible to vote in the District for District Committee

elections; and (2) work primarily from such NASD member's principal office or a branch office that is located within the District where the individual will serve on a Committee. NASD believes this will ensure that local interests are represented on Committees. Also, please note that individuals who have served two consecutive terms are no longer eligible to be re-elected; however, NASD encourages current and former committee members to assist NASD by soliciting candidates for both committees.

Completed forms will be provided to all members of the appropriate District Nominating Committee for review. It is anticipated that on or before September 3, 2004, each District Director, acting on behalf of the District Nominating Committee, will notify the Secretary of NASD of each candidate nominated by the District Nominating Committee and the position to which the candidate is nominated.

Members are reminded of the importance to accurately maintain their Executive Representative name and e-mail address information, as well as their firm's main postal address.¹ This will ensure that member mailings, such as election information, will be properly directed. Failure to keep this information accurate may jeopardize the member's ability to participate in District elections as well as other member votes. To update the Executive Representative name and e-mail address, firms should access the NASD Contact System, located on NASD's Web site at www.nasdr.com/ncs.asp

To update postal address information, the firm must file a Form BD Amendment via the Web CRD system. For assistance updating either of these systems, you may contact our Call Center at (301) 590-6500.

Questions/Further Information

Questions concerning this *Special Notice* may be directed to the District Director noted or to Barbara Z. Sweeney, Senior Vice President and Corporate Secretary, NASD, at (202) 728-8062 or via e-mail at barbara.sweeney@nasd.com.

Endnote

- 1 See also *Notice to Members 04-32* (SEC Approves Amendments to Require Quarterly Review and Update of Executive Representative Contact Information).

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ATTACHMENT A

District 1 Committee and District Nominating Committee Members

Elisabeth P. Owens, District Director

525 Market Street, Suite 300, San Francisco, CA 94105

(415) 882-1201

District 1 Committee — Chair: Robert A. Muh

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Gerard P. Gloisten	GBS Financial Corporation	Santa Rosa, CA
Allan L. Herzog	Prudential Securities, Inc.	San Francisco, CA
Robert A. Muh	Sutter Securities, Inc.	San Francisco, CA

Committee members to serve until January 2006

Warren E. Gordon	Charles Schwab & Co., Inc.	San Francisco, CA
William P. Hayes	Wells Fargo Investments, LLC	San Francisco, CA
Francis X. Roche, II	RBC Dain Rauscher, Inc.	San Francisco, CA

Committee members to serve until January 2007

William A. Evans	Stone & Youngberg, LLC	San Francisco, CA
Mansoor Kisat	Citigroup Global Markets, Inc.	Santa Rosa, CA
Arthur E. Raitano	Hoefer & Arnett, Incorporated	San Francisco, CA

District 1 Nominating Committee — Chair: James D. Klein

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Stephen R. Adams	Wells Fargo Investments, LLC	San Francisco, CA
Sally G. Aelion	Emmett A. Larkin Company, Inc.	San Francisco, CA
Robert S. Basso	Correspondent Services Corporation	San Francisco, CA
James D. Klein	UBS PaineWebber, Inc.	San Francisco, CA
L. Robert McKulla	Wachovia Securities	Walnut Creek, CA

District 2 Committee and District Nominating Committee Members

Lani M. Sen Woltmann, District Director

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071 (213) 613- 2601

District 2 Committee — Chair: James E. Biddle

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Barbara A. Kelley ¹	Pacific Global Investment Management Company	Glendale, CA
Joan A. Payden	Payden & Rygel	Los Angeles, CA
Joel H. Ravitz	Quincy Cass Associates	Los Angeles, CA

Committee members to serve until January 2006

James E. Biddle ²	The Securities Center Incorporated	Chula Vista, CA
A. William Cohen	Integrated Trading and Investments, Inc.	Las Vegas, NV
Don S. Dalis	UBS PaineWebber Inc.	Newport Beach, CA

Committee members to serve until January 2007

Stephen B. Benton	Financial Network Investment Corporation	Torrance, CA
James M. S. Dillahunty	Fixed Income Securities, LLC	San Diego, CA
John D. Lewis	JDL Securities Corp.	Newport Beach, CA

District 2 Nominating Committee — Chair: Margaret M. Black

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Margaret M. Black	Morgan Stanley	Century City, CA
Diane P. Blakeslee	Blakeslee & Blakeslee, Inc.	San Luis Obispo, CA
Miles Z. Gordon		Indian Wells, CA
Richard B. Gunter	Wedbush Morgan Securities	Los Angeles, CA
Steven K. McGinnis		Irvine, CA

1 Ms. Kelley was appointed to fill a vacancy created by the resignation of Guy Williams. Ms. Kelley's term expires in January 2005.

2 Mr. Biddle was appointed to fill a vacancy created by the resignation of Donna Bartlett Lawson. Mr. Biddle must stand for election to serve out the remaining term, which expires in January 2006.

District 3 Committee and District Nominating Committee Members

Joseph M. McCarthy, District Director

370 17th Street, Suite 2900, Denver, CO 80202 (303) 446-3100

James G. Dawson, District Director

Two Union Square, 601 Union Street, Suite 1616, Seattle, WA 98101-2327 (206) 624-0790

District 3 Committee — Chair: John W. Goodwin

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Gregory R. Anderson	TIAA/CREF Individual & Institutional Services, Inc.	Denver, CO
Robert E. Frey, Jr.	KMS Financial Services, Inc.	Seattle, WA
John F. York	Strand, Atkinson, Williams & York, Inc.	Portland, OR

Committee members to serve until January 2006

Gene G. Branson	Partners Investment Network, Inc.	Spokane, WA
Bridget M. Gaughan	SunAmerica Financial Network, Inc.	Phoenix, AZ
John W. Goodwin	Goodwin Browning & Luna Securities, Inc.	Albuquerque, NM

Committee members to serve until January 2007

Curtis J. Hammond	Morgan Stanley Dean Witter	Bellevue, WA
J. Keith Kessel	AFS Brokerage, Inc.	Greenwood Village, CO
Arlene M. Wilson	D.A. Davidson & Co.	Great Falls, MT

District 3 Nominating Committee — Chair: Anthony B. Petrelli

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Elyssa S. Baltazar	Morgan Stanley Dean Witter, Inc.	Denver, CO
L. Hoyt DeMers	Wells Fargo Investments, LLC	Seattle, WA
Steven R. Larson	Richards, Merrill & Peterson, Inc.	Spokane, WA
Kathryn A. Supko	Northwestern Mutual Investment Services, LLC	Boise, ID
Anthony B. Petrelli	Neidiger, Tucker, Bruner, Inc.	Denver, CO

District 4 Committee and District Nominating Committee Member

Thomas D. Clough, District Director

120 West 12th Street, Suite 900, Kansas City, MO 64105 (816) 802-4708

District 4 Committee — Chair: Frank H. Kirk

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Frank H. Kirk	Wachovia Securities, Inc.	Kansas City, MO
James H. Warner	The Warner Group	Sioux City, IA
Vacancy ³		

Committee members to serve until January 2006

Michael D. Burns	USAllianz Securities, Inc.	Minneapolis, MN
Deborah M. Castiglioni	Cutter & Company, Inc.	Chesterfield, MO
Kevin P. Maas	PrimeVest Financial Services, Inc.	St. Cloud, MN

Committee members to serve until January 2007

Joseph P. Fleming	Piper Jaffray & Co.	Minneapolis, MN
Richard M. Hurwitz	Benefit Finance Securities, LLC	St. Louis, MO
Mark T. Lasswell	Wells Fargo Brokerage Services, LLC	Minneapolis, MN

District 4 Nominating Committee — Chair: L.C (Jack) Petersen

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Gene M. Diederich	A.G. Edwards & Sons, Inc.	Overland Park, KS
Timothy J. Lyle	Cambridge Investment Research, Inc.	Fairfield, IA
E. John Moloney	Moloney Securities Co., Inc.	St. Louis, MO
L. C. (Jack) Petersen	Kirkpatrick, Pettis, Smith, Polian, Inc.	Omaha, NE
Pamela R. Ziermann	Dougherty & Company, LLC	Minneapolis, MN

³ This vacancy was created by the resignation of William R. Giovanni. The term expires in January 2005.

District 5 Committee and District Nominating Committee Members

Warren A. Butler, Jr., Regional Director

1100 Poydras Street, Energy Centre, Suite 850, New Orleans, LA 70163 (504) 522-6527

District 5 Committee — Chair: John J. Dardis

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

John J. Dardis	Jack Dardis & Associates, Ltd.	Metairie, LA
Philip J. Dorsey	Dorsey & Company, Inc.	New Orleans, LA
James T. Ritt	Morgan Keegan & Company, Inc.	Memphis, TN

Committee members to serve until January 2006

Victor E. Blaylock	BancorpSouth Investment Service, Inc.	Jackson, MS
Carolyn R. May	Benchmark Investments, Inc.	Little Rock, AR
F. Eugene Woodham	Sterne, Agee & Leach, Inc.	Birmingham, AL

Committee members to serve until January 2007

Jennifer Carty Scola	Carty & Company, Inc.	Memphis, TN
R. Patrick Shepherd	Avondale Partners, L.L.C.	Nashville, TN
Donald Winton	Crews & Associates, Inc.	Little Rock, AR

District 5 Nominating Committee — Chair: Duncan F. Williams

Committee members to be elected to terms expiring January 2005: 5

Committee Members

David A. Daugherty	James Baker & Associates	Oklahoma City, OK
James S. Holbrook, Jr.	Sterne, Agee & Leach, Inc.	Birmingham, AL
E. Douglas Johnson, Jr.	Johnson Rice & Company, L.L.C.	New Orleans, LA
Tom R. Steele	Equitable Advisors, Inc.	Nashville, TN
Duncan F. Williams	Duncan-Williams, Inc.	Memphis, TN

District 6 Committee and District Nominating Committee Members

Virginia F. M. Jans, District Director

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243

(972) 701-8554

District 6 Committee — Chair: Sennett Kirk, III

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Donaldson D. Frizzell	First Command Educational Foundation	Fort Worth, TX
Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
V. Keith Roberts	Stanford Group Company	Houston, TX

Committee members to serve until January 2006

Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
John R. Muschalek	First Southwest Company	Dallas, TX
Robert L. Nash	SWS Securities, Inc.	Dallas, TX

Committee members to serve until January 2007:

Karen Banks	Frost Brokerage Services, Inc.	San Antonio, TX
Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
Darryl W. Traweck	RBC Dain Rauscher, Inc.	Houston, TX

District 6 Nominating Committee — Chair: Edward M. Milkie

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Christopher R. Allison	M.E. Allison & Co., Inc.	San Antonio, TX
C. Ronald Baker	The (Wilson) Williams Financial Group	Lubbock, TX
William B. Madden	Madden Securities Corporation	Dallas, TX
Edward M. Milkie	Milkie/Ferguson Investments, Inc.	Dallas, TX
David W. Turner	Wachovia Securities, LLC	Fort Worth, TX

District 7 Committee and District Nominating Committee Members

David Paulukaitis, Associate Director

One Securities Centre, Suite 500, 3490 Piedmont Road, NE, Atlanta, GA 30305
(404) 239-6128

District 7 Committee — Chair: Jeffrey P. Adams

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Jeffrey P. Adams	Balentine & Company	Atlanta, GA
Richard G. Averitt, III	Raymond James Financial Services, Inc.	St. Petersburg, FL
Roark A. Young	Young, Stovall and Company	Miami, FL

Committee members to serve until January 2006

Joseph B. Gruber	FSC Securities Corporation	Atlanta, GA
Dennis S. Kaminski	Mutual Service Corporation	West Palm Beach, FL
James A. Klotz	FMSBonds, Inc.	North Miami Beach, FL

Committee members to serve until January 2007

Susan J. Hechtlinger	Banc of America Investment Services, Inc.	Charlotte, NC
Landrum H. Henderson, Jr.	Legg Mason Wood Walker, Inc.	Charlotte, NC
Alan L. Maxwell, Jr.	Wachovia Capital Markets, LLC	Charlotte, NC

District 7 Nominating Committee — Chair: Michael D. Hearn, Esq.

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Michael D. Hearn, Esq.	Banc of America Investment Services, Inc.	Charlotte, NC
Kenneth W. McGrath	Popular Securities, Inc.	Hato Rey, PR
C. John O'Bryant, III	PowellJohnson, Private Asset Management	Raleigh, NC
Glenn R. Oxner	Scott & Stringfellow, Inc.	Greenville, SC
John W. Waechter	William R. Hough & Co.	St. Petersburg, FL

District 8 Committee and District Nominating Committee Members

Carla A. Romano, District Director

55 West Monroe Street, Suite 2700, Chicago, IL 60603

(312) 899-4324

District 8 Committee — Chair: Jill R. Powers

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Bernard A. Breton	Carillon Investments, Inc.	Cincinnati, OH
Donald A. Carlson	B.C. Ziegler and Company	Chicago, IL
William K. Curtis	M & I Brokerage Services, Inc.	Milwaukee, WI
Gerald L. Oaks	Legg Mason Wood Walker, Inc.	Cincinnati, OH
Jill R. Powers	Oberlin Financial Corporation	Bryan, OH

Committee members to serve until January 2006

Wilbur H. Burch	Newbridge Securities Corporation	Saginaw, MI
Thomas M. McDonald	Wayne Hummer Investments, L.L.C.	Chicago, IL
James J. Roth	Pershing A BNY Securities Group Co.	Oak Brook, IL

Committee members to serve until January 2007

Michael E. Bosway	City Securities Corporation	Indianapolis, IN
Robert J. Michelotti	Ferris, Baker Watts Incorporated	Auburn Hills, MI
Lora Rosenbaum	Northwestern Mutual Investment Services, LLC	Milwaukee, WI

District 8 Nominating Committee — Chair: Mary D. Esser

Committee members to be elected to terms expiring January 2005: 5

Committee Members

William C. Alsover, Jr.	Centennial Securities Company, Inc.	Grand Rapids, MI
Mary D. Esser	Cressman Esser Securities, Inc.	Naperville, IL
Gregory W. Goelzer	Goelzer Investment Management	Indianapolis, IN
Rodney Trautvetter	Harris Investor Services LLC	Chicago, IL
Bruce J. Young	Mesirow Financial, Inc.	Chicago, IL

District 9 Committee and District Nominating Committee Members

John P. Nocella, District Director

1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-1992

Gary K. Liebowitz, District Director

581 Main Street, 7th Floor, Woodbridge, NJ 07095 (732) 596-2025

District 9 Committee — Chair: Michael B. Row

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

James E. Bickley	Cresap, Inc.	Horsham, PA
Michael B. Row	Pershing LLC	Jersey City, NJ
Michael S. Mortensen	PNC Investments	Pittsburgh, PA

Committee members to serve until January 2006

Richard Grobman	Oppenheimer & Co., Inc.	Philadelphia, PA
W. Dean Karrash	Burke, Lawton, Brewer & Burke	Spring House, PA
Gregg A. Kidd	Pinnacle Investments Inc.	East Syracuse, NY

Committee members to serve until January 2007

John Bluhner	Knight Equity Markets, L.P.	Jersey City, NJ
Barry M. Cash	UBS Financial Services, Inc.	Fishkill, NY
Peter P. Jenkins	Credit Suisse First Boston LLC	Baltimore, MD

District 9 Nominating Committee — Chair: Lenda P. Washington

Committee members to be elected to terms expiring January 2005: 5

Committee Members

J. Lee Keiger, III	Davenport & Company, LLC	Richmond, VA
John P. Meegan	Parker/Hunter Incorporated	Pittsburgh, PA
Lance A. Reihl	1717 Capital Management Co.	Newark, DE
Howard B. Scherer	Janney Montgomery Scott LLC	Philadelphia, PA
Lenda P. Washington	GRW Capital Corporation	Washington, DC

District 10 Committee and District Nominating Committee Members

Hans L. Reich, Regional Director

One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006 (212) 858-4180

District 10 Committee — Chair: Jennifer A. Connors

Members to be elected to terms expiring January 2008: 4

Committee members to serve until January 2005

Jennifer A. Connors	ITG Inc.	New York, NY
Christopher R. Franke	J.P. Morgan Securities Inc.	New York, NY
Joan E. Hoffman	Deutsche Banc A.G.	New York, NY
Bertram J. Riley Sr.	Petersen Investments, Inc.	New York, NY
Mark W. Ronda	Fahnestock & Co. Inc.	New York, NY

Committee members to serve until January 2006

Margaret M. Caffrey ⁴	Schonfeld & Company, LLC	Jericho, NY
Raymond C. Holland, Sr.	Triad Securities Corp.	New York, NY
Andrew H. Madoff	Bernard L. Madoff Investment Services LLC	New York, NY
Richard J. Paley	Daiwa Securities America, Inc.	New York, NY

Committee members to serve until January 2007

Richard Berenger	Sky Capital, LLC	New York, NY
Lon T. Dolber	American Portfolios Financial Services, Inc.	Holbrook, NY
George T. Mimura	Nomura Securities International, Inc.	New York, NY
Howard R. Plotkin	Lehman Brothers Inc.	New York, NY

District 10 Nominating Committee — Chair: Judith R. MacDonald

Committee members to be elected to terms expiring January 2005: 5

Committee Members

William Behrens	Northeast Securities, Inc.	New York, NY
Ruth S. Goodstein	UBS Financial Services, Inc.	New York, NY
Judith R. MacDonald	Rothschild, Inc.	New York, NY
Charles V. Senatore	Fidelity Brokerage Services, LLC	New York, NY
Stephen C. Strombelline	BNP Paribas Securities Corp.	New York, NY

⁴ Ms. Caffrey was appointed to fill a vacancy created by the resignation of Vicki Holleman. Ms. Caffrey must stand for election to serve out the remaining term, which expires in January 2006.

District 11 Committee and District Nominating Committee Members

Frederick F. McDonald, District Director

260 Franklin Street, Suite 1600, Boston, MA 02110

(617) 261-0805

District 11 Committee — Chair: Thomas J. Horack

Members to be elected to terms expiring January 2008: 3

Committee members to serve until January 2005

Michael C. Braun	Moors & Cabot, Inc.	Boston, MA
Andrew F. Detwiler	Vandham Securities Corp.	Boston, MA
Thomas J. Horack	John Hancock Life Insurance Company	Boston, MA

Committee members to serve until January 2006

Mark R. Hansen	State Street Global Markets, LLC	Boston, MA
Lee G. Kuckro	Advest, Inc.	Hartford, CT
Wilson G. Saville ⁵	Barrett & Company	Providence, RI

Committee members to serve until January 2007

David K. Booth	Jefferson Pilot Securities Corp.	Concord, NH
Thomas F. Hollenbeck	J.P. Morgan Invest, LLC	Boston, MA
Curtis L. Snyder, Jr.	American Technology Research, Inc.	Greenwich, CT

District 11 Nominating Committee — Chair: John D. Lane

Committee members to be elected to terms expiring January 2005: 5

Committee Members

Richard J. DeAgazio	Boston Capital Services, Inc.	Boston, MA
John D. Lane	Lane Capital Markets LLC	Fairfield, CT
John I. Fitzgerald	Leerink Swann & Company	Boston, MA
Robert V. Rodia	People's Securities, Inc.	Bridgeport, CT
Gregory D. Teese	Equity Services, Inc.	Montpelier, VT

⁵ Mr. Saville was appointed to fill a vacancy created by the resignation of Gregg A. Kidd. Mr. Saville must stand for election to serve out the remaining term, which expires in January 2006.

ATTACHMENT B

Procedures for Electing District Committee and District Nominating Committee Members

1. Each NASD District shall maintain a District Nominating Committee in the manner specified in Article VIII of the By-Laws of NASD Regulation, Inc.
2. The Secretary of NASD has sent the foregoing written notice to each District Nominating Committee member and each District Director identifying the members of the District Committee and the District Nominating Committee whose terms expire in January 2005. The notice describes the election procedures to be followed in filling these positions.
3. The Secretary of NASD and the Member Regulation Department will e-mail a reminder to all members of their responsibility, and obligation, to keep current and accurate the information on their Executive Representatives. The e-mail will contain a reference to the NASD Contact System, located on NASD's Web site at www.nasdr.com/ncs.asp, for changing a firm's Executive Representative name, email and postal address. This e-mail will note that failure to keep this information accurate may jeopardize the member's ability to participate in the district elections, as well as in other member votes.
4. The Secretary of NASD will send a *Notice to Members* announcing the forthcoming elections to the Executive Representative of all NASD members eligible to vote in each district. The *Notice to Members* will identify: (a) the number of positions that need to be filled in each district; and (b) the incumbent members of each District Committee. Persons associated with an NASD member who are interested in serving on the District Committee or the District Nominating Committee within their district, must complete a candidate profile sheet and submit it to the District Director. The completed candidate profile sheets will be provided to all members of the appropriate District Nominating Committee for review. During this stage of the election process, the District Nominating Committee identifies and solicits candidates to nominate for election to the District Committee and the District Nominating Committee.
5. Soon after the expiration of the time allotted in the *Notice to Members* to submit names and candidate profile sheets for consideration, the District Nominating Committee will meet to determine its slate of candidates for the election. NASD staff will provide the District Nominating Committee members with information considered to be relevant to the nomination process, including:
 - ♦ analytical data pertaining to the district's membership; and
 - ♦ candidate profile sheets.

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6. In determining its slate of candidates for the election, the District Nominating Committee will review the background and qualifications of the proposed candidates, and endeavor to secure appropriate and fair representation on the District Committee and on the District Nominating Committee of the various sections of the district and various classes and types of NASD members engaged in the investment banking or securities business within the district. The slate must include one candidate for each position to be filled on the District Committee and on the District Nominating Committee.
 7. On or before September 3, 2004, the District Director, acting on behalf of the District Nominating Committee, will notify the Secretary of NASD of each candidate nominated by the District Nominating Committee and the position to which the candidate is nominated.
 8. On or before October 1, 2004, the Secretary of NASD will send a *Notice to Members* to the District Committees and the Executive Representatives of NASD members eligible to vote in each district, identifying the nominees for the District Committees and the District Nominating Committees.

If the District Nominating Committee nominates only one candidate for each position on the District Committee and the District Nominating Committee and no additional candidate comes forward by delivering written notice to the appropriate District Director within 14 calendar days after the date of the *Notice to Members* identifying the nominees, the candidates nominated by the District Nominating Committee are considered duly elected.

9. If an officer, director, or employee of an NASD member was not nominated by the District Nominating Committee and wants to be considered for election to the District Committee or the District Nominating Committee as an additional candidate, he/she must notify the District Director in writing within 14 calendar days after the date of the *Notice to Members* referenced in item 8 above. The District Director must make a written record of the time and date of the receipt of such notification.
10. Promptly following receipt of the additional candidate's timely notice, the Secretary of NASD will provide to the additional candidate a list of all NASD members eligible to vote in the district, their mailing addresses, and their Executive Representatives.
11. An additional candidate is considered nominated if a petition signed by the Executive Representative of at least 10 percent of the NASD members eligible to vote in the district is filed with the District Nominating Committee within 30 calendar days after the mailing date of the list to the additional candidate referenced in item 10 above.
12. If an additional candidate secures the required petition within the 30-day designated timeframe, the election is considered a contested election. The Secretary of NASD will send a *Notice to Members* to the Executive Representatives of NASD members eligible to vote in the district announcing the names of all candidates and describing the contested election procedures.

Additional information pertaining to the District Committee and District Nominating Committee Election Procedures may be found in Article VIII of the By-Laws of NASD Regulation.

ATTACHMENT C Candidate Profile Sheet**Current Employment**

Name:	CRD#:	
Firm:	#RRs at Firm:	
Title/Primary Responsibility:		
Address:		
City:	State:	Zip:
Phone:	Fax:	
E-mail:		

Prior Employment (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 | ☐ Investment Advisory |
| ☐ Corporate Finance | ☐ Retail Sales |
| ☐ Financial/Operational | ☐ Trading/Market Making |
| ☐ Institutional Sales | ☐ Other |

Product Expertise (please check all that apply)

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

Memberships/Positions Held in Trade or Business Organizations

Past NASD Experience and Dates of Service (please check all that apply)

☐ Committee Member (Identify committee: _____)	Approx. Dates: _____
☐ Arbitrator	Approx. Dates: _____
☐ Mediator	Approx. Dates: _____
☐ Expert Witness (arbitrations; disciplinary proceedings):	Approx. Dates: _____
☐ Other:	Approx. Dates: _____

Educational Background

School:	Degree:
School:	Degree: