

# Special Notice to Members

JUNE 2003

## SUGGESTED ROUTING

Legal & Compliance  
Operations  
Registration  
Senior Management

## KEY TOPICS

District Elections

## INFORMATIONAL

### 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 the District Committees and the District Nominating Committees.

Information on District Committee and District Nominating Committee members serving through 2004, 2005, and 2006 is included in Attachment A. Information on District Election Procedures is included in Attachment B. A candidate profile sheet is included in 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. Members are requested to submit candidates' names to the appropriate District Nominating Committee Chairman or to the District Director by submitting a cover letter and the candidate profile sheet (Attachment C) by July 28.

Completed forms will be provided to all District Nominating Committee members for review. It is anticipated that the District Nominating Committees will certify their nominees to the District Committees on or about September 12.

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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. 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 their NASD Member Firm Contact Questionnaire (NMFCQ) located on the NASD Web Site ([www.nasdr.com/disclaimer.asp](http://www.nasdr.com/disclaimer.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](mailto:barbara.sweeney@nasd.com).

©2003. NASD. All rights reserved. *Notices to Members* attempt to present information to readers in a format that is easily understandable. However, please be aware that, in case of any misunderstanding, the rule language prevails.

## ATTACHMENT A

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### 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: S. Katherine Campbell

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

Steven R. Aaron	J.P. Morgan Securities	San Francisco, CA
S. Katherine Campbell	Protected Investors of America	Kensington, CA
Carol Van Bruggen	Financial Telesis, Inc.	Sacramento, CA

#### 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

#### District 1 Nominating Committee — Chair: Glenn M. Colacurci

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

Sally G. Aelion	Emmett A. Larkin Company, Inc.	San Francisco, CA
Glenn M. Colacurci	Salomon Smith Barney	San Francisco, CA
James D. Klein	UBS PaineWebber, Inc.	San Francisco, CA
Jerry D. Phillips	RBC Dain Rauscher, Inc.	San Francisco, CA
William A. Svoboda	Morgan Stanley Dean Witter, Inc.	Palo Alto, CA

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## 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: Steven K. McGinnis

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

James E. Biddle	The Securities Center Incorporated	Chula Vista, CA
Chris M. Kanoff	Jefferies and Co., Inc.	Los Angeles, CA
Steven K. McGinnis	National Planning Holdings	Santa Monica, CA
Neal E. Nakagiri	Associated Securities Corporation	Los Angeles, CA

#### Committee members to serve until January 2005

Joan A. Payden	Payden & Rygel	Los Angeles, CA
Joel H. Ravitz	Quincy Cass Associates	Los Angeles, CA
Guy W. Williams	Merrill Lynch Pierce Fenner & Smith, Inc.	Costa Mesa, CA

#### Committee members to serve until January 2006

A. William Cohen	Integrated Trading and Investments, Inc.	Las Vegas, NV
Don S. Dalis	UBS PaineWebber Inc.	Newport Beach, CA
Donna Bartlett Lawson	First Allied Securities, Inc.	San Diego, CA

### District 2 Nominating Committee — Chair: Robert L. Winston

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

Margaret M. Black	Morgan Stanley Dean Witter	Los Angeles, CA
George H. Casey	Crowell Weedon & Co.	Los Angeles, CA
Miles Z. Gordon	Financial Network Investment Corp.	Torrance, CA
Dean A. Holmes	Valic Financial Advisors, Inc.	Glendale, CA
Robert L. Winston	American Funds Distributors, Inc.	Los Angeles, CA

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### 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, Suite 1616, Seattle, WA 98101-2327

(206) 624-0790

### District 3 Committee — Chair: Kathryn A. Supko

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

George T. Diachok	Geneos Wealth Management, Inc.	Denver, CO
John M. Rose	Seattle-Northwest Securities Corporation	Seattle, WA
Kathryn A. Supko	Northwestern Mutual Investment Services, LLC	Boise, ID

#### 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

### District 3 Nominating Committee — Chair: Martin O. Nelson, Jr.

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

L. Hoyt DeMers	Wells Fargo Investments, LLC	Seattle, WA
J. David Griswold	Frank Russell Securities, Inc.	Tacoma, WA
Martin O. Nelson, Jr.	Martin Nelson & Co., Inc.	Seattle, WA
William G. Papesh	WM Funds Distributor, Inc.	Seattle, WA
Anthony B. Petrelli	Neidiger, Tucker, Bruner, Inc.	Denver, CO

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#### 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: Timothy J. Lyle

Members to be elected to terms expiring January 2007: 3

Member to be elected to term expiring January 2006: 1

#### Committee members to serve until January 2004

Gene M. Diederich	A.G. Edwards & Sons, Inc.	Overland Park, KS
Timothy J. Lyle	Trusted Securities Advisors Corp.	Minneapolis, MN
Pamela R. Ziermann	Dougherty & Company LLC	Minneapolis, MN

#### Committee members to serve until January 2005

William R. Giovanni	Ameritas Investment Corp.	Lincoln, NE
Frank H. Kirk	Wachovia Securities, Inc.	Kansas City, MO
James H. Warner	The Warner Group	Sioux City, IA

#### Committee members to serve until January 2006

Deborah M. Castiglioni	Cutter & Company, Inc.	Chesterfield, MO
Terry L. Lister	Cambridge Investment Research, Inc.	Fairfield, IA

Vacancy\*

\* This vacancy was created by the resignation of Richard J. Miller.

#### District 4 Nominating Committee — Chair: Norman Frager

Committee members to be elected to terms expiring January 2004: 5

#### Committee Members

Norman Frager	Flagstone Securities, LLC	St. Louis, MO
E. John Moloney	Maloney Securities Co., Inc.	St. Louis, MO
Rodger O. Riney	Scottrade, Inc.	St. Louis, MO
Jeffrey A. Schuh	Wells Fargo Investment Services	Minneapolis, MN
Gail Werner-Robertson	GWR Investments, Inc.	Omaha, NE

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### District 5 Committee And District Nominating Committee Members

#### Warren A. Butler, Jr., District Director

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

#### District 5 Committee — Chair: David W. Wiley, III

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

David A. Knight	Stephens Inc.	Little Rock, AR
Lawrence J. Sisung, Jr.	Sisung Securities Corporation	New Orleans, LA
David W. Wiley, III	Wiley Bros., Aintree Capital, LLC	Nashville, TN

#### Committee members to serve until January 2005

John J. Dardis	Jack Dardis & Associates, Ltd.	Metairie, LA
J. Timothy Rice	Rice, Voelker, LLC	Covington, 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.	Arkadelphia, AR
F. Eugene Woodham	Sterne, Agee & Leach, Inc.	Birmingham, AL

#### District 5 Nominating Committee — Chair: Duncan F. Williams

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

Carl W. Busch	Prudential Securities Incorporated	Edmond, OK
E. Douglas Johnson, Jr.	Johnson Rice & Company	New Orleans, LA
James M. Rogers	J.J.B. Hilliard, W.L. Lyons, Inc.	Louisville, KY
William L. Tedford, Jr.	Stephens Inc.	Little Rock, AR
Duncan F. Williams	Duncan-Williams, Inc.	Memphis, TN

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## 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: R. Dwayne Whitehead

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

Christopher R. Allison	M.E. Allison & Co., Inc.	San Antonio, TX
David W. Turner	Wachovia Securities, Inc.	Ft. Worth, TX
R. Dwayne Whitehead	Coastal Securities L.P.	Houston, TX

#### 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	VALIC Financial Advisors	Houston, TX

#### Committee members to serve until January 2006

Brent T. Johnson	IFG Network Securities, Inc.	Houston, TX
John R. Muschalek	First Southwest Company	Dallas, TX
Robert L. Nash	SWS Securities, Inc.	Dallas, TX

### District 6 Nominating Committee — Chair: Frederick W. McGinnis

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

C. Ronald Baker	Williams Financial Group	Lubbock, TX
Robert A. Estrada	Estrada Hinojosa & Company, Inc.	Dallas, TX
Fredrick W. McGinnis	UBS PaineWebber, Inc.	Houston, TX
Edward M. Milkie	Milkie/Ferguson Investments, Inc.	Dallas, TX
Jim G. Rhodes	Rhodes Securities, Inc.	Fort Worth, TX



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## District 7 Committee And District Nominating Committee Members

### Alan M. Wolper, District Director

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

### District 7 Committee — Chair: Kenneth W. McGrath

Members to be elected to terms expiring January 2007: 3

Member to be elected to terms expiring January 2005: 1

#### Committee members to serve until January 2004

Kenneth W. McGrath	Popular Securities, Inc.	Hato Rey, PR
C. John O'Bryant, III	Legg Mason Wood Walker, Inc.	Raleigh, NC
Charles R. Roberts	RBC Dain Rauscher, Inc.	Richmond, VA

#### 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

\* Term expires January 2004—appointed to fill vacancy created by the resignation of Harold F. Corrigan.

#### 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	First Miami Securities, Inc.	North Miami Beach, FL

### District 7 Nominating Committee — Chair: Edward R. Hipp, III

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

James W. Hamilton	Morgan Keegan & Co.	Atlanta, GA
Michael D. Hearn, Esq.	Banc of America Investment Services, Inc.	Charlotte, NC
Edward R. Hipp, III	Legg Mason Wood Walker, Inc.	Norfolk, VA
J. Lee Keiger, III	Davenort & Company, LLC	Richmond, VA
John W. Waechter	William R. Hough & Co.	St. Petersburg, FL

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## 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

### William Jackson, Jr., District Director

1350 Euclid Avenue, Suite 650, Cleveland, OH 44115 (216) 592-2951

## District 8 Committee — Chair: Gregory W. Goelzer

Members to be elected to terms expiring January 2007: 3

### Committee members to serve until January 2004

George E. Bates	Bates Securities, Inc.	Rockford, IL
Gregory W. Goelzer	Goelzer Investment Management, Inc.	Indianapolis, IN
Jay B. MacKenzie	Prudential Securities Incorporated	Grand Rapids, MI

### 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	J.B. Hanauer & Co.	Chicago, IL
Thomas M. McDonald	Wayne Hummer Investments, LLC	Chicago, IL
James J. Roth	Pershing Division of Donaldson, Lufkin & Jenrette Securities Corporation	Oak Brook, IL

## District 8 Nominating Committee — Chair: Wallen L. Crane

Committee members to be elected to terms expiring January 2004: 5

### Committee members

Wallen L. Crane	Citigroup Global Markets, Inc.	Toledo, OH
Mary D. Esser	Cressman Esser Securities, Inc.	Naperville, IL
Wayne F. Holly	Sage, Ruddy & Co., Inc.	Rochester, NY
L. Gene Tanner	NatCity Investments, Inc.	Indianapolis, IN
Rodney Trautvetter	Harris Investor Services, LLC	Chicago, IL

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### 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: Jerry V. Duhovic

Members to be elected to terms expiring January 2007      3

Member to be elected to terms expiring January 2005      1

### Committee members to serve until January 2004

Jerry V. Duhovic	Ameritrade, Inc.	Bellevue, NE
Kimberly Tillotson Fleming	Hefren-Tillotson, Inc.	Pittsburgh, PA
Howard B. Scherer	Janney Montgomery Scott LLC	Philadelphia, PA
Mark Thomas Whaley	RBC Dain Rauscher Inc.	Florham Park, NJ

### Committee members to serve until January 2005

James E. Bickley	Cresap, Inc.	Radnor, PA
Michael B. Row	Pershing Division of Donaldson, Lufkin & Jenrette Securities Corporation	Jersey City, NJ
Michael S. Mortensen*	PNC Investments	Pittsburgh, PA

\* Term expires January 2004—appointed to fill vacancy created by the resignation of Frank D. Ruscetti.

### Committee members to serve until January 2006

Robert M. Berson	Ryan, Beck & Co., LLC	Livingston, NJ
Richard Grobman	Fahnestock & Co., Inc.	Philadelphia, PA
W. Dean Karrash	Rutherford, Brown & Catherwood, LLC	Philadelphia, PA

### District 9 Nominating Committee — Chair: A. Louis Denton

Committee members to be elected to terms expiring January 2004: 5

### Committee members

A. Louis Denton	Philadelphia Corporation for Investment Services	Philadelphia, PA
James D. Lamke	Spear, Leeds & Kellogg	New York, NY
Lance A. Reihl	1717 Capital Management Co.	Berwyn, PA
Lenda P. Washington	GRW Capital Corporation	Washington, DC
Gregory R. Zappala	J.P. Morgan Securities	Cranberry Township, PA

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## District 10 Committee And District Nominating Committee Members

**Cathleen F. Shine, District Director**     One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006  
(212) 858-4180

### District 10 Committee — Chair: Charles V. Senatore

Members to be elected to terms expiring January 2007:     4

Member to be elected to terms expiring January 2005:     1

#### Committee members to serve until January 2004

Ruth S. Goodstein	UBS PaineWebber Inc.	New York, NY
Patrick Remmert	Credit Suisse First Boston Corporation	New York, NY
Charles V. Senatore	Fidelity Risk Oversight Group, FMR Corporation	New York, NY
Jeffrey R. Zuckerman	Salomon Smith Barney Inc.	New York, NY

#### 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

\* Term expires January 2004—appointed to fill vacancy created by the resignation of Nathalie P. Maio.

#### Committee members to serve until January 2006

Raymond C. Holland, Sr.	Triad Securities Corp.	New York, NY
Vicki Z. Holleman	Loeb Partners Corporation	New York, NY
Andrew H. Madoff	Bernard L. Madoff Investment Services LLC	New York, NY
Richard J. Paley	Fox-Pitt, Kelton Inc.	New York, NY

### District 10 Nominating Committee — Chair: Tom M. Wirtshafter

Committee members to be elected to terms expiring January 2004:     5

#### Committee members

Kevin J. Browne	Banc of America Securities	New York, NY
Judith R. MacDonald	Rothschild, Inc.	New York, NY
Eugene A. Schlanger	Nomura Holding America, Inc.	New York, NY
Stephen C. Strombelline	Barclays Capital Inc.	New York, NY
Tom M. Wirtshafter	AXA Advisors, LLC	New York, NY

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## 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: John I. Fitzgerald

Members to be elected to terms expiring January 2007: 3

#### Committee members to serve until January 2004

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

#### Committee members to serve until January 2005

Michael C. Braun	Moors & Cabot, Inc.	Boston, MA
Andrew F. Detwiler	Vandham Securities Corp.	Plymouth, 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
Gregg A. Kidd	Pinnacle Investments, Inc.	East Syracuse, NY
Lee G. Kuckro	Advest, Inc.	Hartford, CT

### District 11 Nominating Committee — Chair: Stephen O. Buff

Committee members to be elected to terms expiring January 2004: 5

#### Committee members

Stephen O. Buff	Fleet Securities, Inc.	Boston, MA
Richard J. DeAgazio	Boston Capital Services, Inc.	Boston, MA
John D. Lane	Lane Capital Markets LLC	Fairfield, CT
Dennis R. Surprenant	Cantella & Co., Inc.	Boston, MA
Peter T. Wheeler	Commonwealth Financial Network	Waltham, MA

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## ATTACHMENT B

### District Election Procedures for District Committees and District Nominating Committees

#### Regular Election

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 Regulation will notify in writing the Chairman of each District Committee and the Chairman of the District Nominating Committee of the upcoming vacancies on both the District Committee and the District Nominating Committee, and the procedures to follow to fill the vacancies. A copy of these letters will be provided to the District Directors.

The District Nominating Committee will be provided by NASD Regulation staff with information considered relevant to the nominating process, including statistical data pertaining to the District membership.

3. The Secretary of NASD Regulation will remind all members of their responsibility and obligation to keep current and accurate information on their Executive Representatives and branch office addresses. This reminder will contain a reference to the NASDR Web Site ([www.nasdr.com](http://www.nasdr.com)) and detail the process for changing a firm's Executive Representative. Please note that failure to keep this information accurate may jeopardize the member's ability to participate in District elections as well as other member votes.
4. The Secretary of NASD Regulation on behalf of the District Committee Chairmen will send a Notice to Members announcing the forthcoming elections to the Executive Representative and each branch office of all members eligible to vote in that District. The Notice to Members will contain: a) the number of vacancies for each District; and b) the remaining members of each District Committee. Members interested in serving on the District Committee or District Nominating Committee will be requested to complete the candidate profile sheet and submit it to the District Nominating Committee Chairman or the District Director. The completed candidate profile sheet will be provided to all Nominating Committee members for review.
5. The District Nominating Committee will endeavor to secure appropriate and fair representation on the District Committee and on the District Nominating Committee of the various sizes and types of NASD members engaged in the investment banking or securities business within the District.
6. The District Nominating Committee will review the background and qualifications of the proposed candidates and the profile information provided by staff, and will determine its slate of candidates for the election.

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7. On or about September 12, 2003, the District Nominating Committee will certify to the District Committee each candidate nominated by the District Nominating Committee.
  8. Within five (5) calendar days after this certification, a Notice to Members shall be sent to Executive Representatives communicating the nominees for the vacancies on the District Committees and District Nominating Committees.
  9. If an officer, director, or employee of an NASD member is interested in being considered as an additional candidate by contesting the election, he/she must indicate his/her interest to the District Director within fourteen (14) calendar days of the date of the Notice to Members referenced in #8 above. The District Director shall make a written record of the time and date of such notification and the process will continue as described in #10 - #13.  
  
If an additional candidate does not come forward within 14 days, the election of committee members is complete.
  10. The Secretary of NASD Regulation shall provide a list of all NASD members eligible to vote in the District and their Executive Representatives to the additional candidate(s) immediately following receipt of the additional candidate's notice by the District Director.
  11. Additional candidate(s) may be nominated if a petition signed by the Executive Representative of at least 10 percent of the members eligible to vote in the District is filed with the District Nominating Committee within 30 calendar days from the mailing date of the list referenced in #10 to the additional candidate(s).
  12. If no additional candidate(s) are nominated within the 30-calendar day period, then the candidates nominated by the District Nominating Committee shall be considered duly elected, and the District Committee shall certify the election to the Board of Directors of NASD Regulation.
  13. If any additional candidate(s) are nominated, the procedures outlined in the Contested Election Procedures will apply.

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

**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)

- |   |   |
|---|---|
| <input type="radio"/> Compliance/Legal      | <input type="radio"/> Investment Advisory   |
| <input type="radio"/> Corporate Finance     | <input type="radio"/> Retail Sales          |
| <input type="radio"/> Financial/Operational | <input type="radio"/> Trading/Market Making |
| <input type="radio"/> Institutional Sales   | <input type="radio"/> Other                 |
|   | _____                                       |
|   | _____                                       |

**Product Expertise** (please check all that apply)

- |  |  |
|--|--|
| <input type="radio"/> Corporate Bonds      | <input type="radio"/> Investment Company |
| <input type="radio"/> Direct Participation | <input type="radio"/> Options            |
| <input type="radio"/> Programs             | <input type="radio"/> Variable Contracts |
| <input type="radio"/> Equity Securities    | Securities                               |
| <input type="radio"/> Municipal/Government | <input type="radio"/> Other              |
| Securities                                 | _____                                    |
|  | _____                                    |

**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: \_\_\_\_\_



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