

# Special Notice to Members

JUNE 2002

## 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 2003, 2004, and 2005 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 **August 5**.

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 23**.

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

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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).

## 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) 882-1200

#### District 1 Committee — Chair: Sally G. Aelion

Members to be elected to terms expiring January 2006: **3**

Member to be elected to term expiring January 2005: **1**

#### Committee members to serve until January 2003

Sally G. Aelion	Emmett A. Larkin Co., Inc.	San Francisco, CA
David A. Baylor	Thomas Weisel Partners LLC	San Francisco, CA
Nicholas C. Cochran	American Investors Company	Dublin, CA

#### Committee members to serve until January 2004

S. Katherine Campbell	Protected Investors of America	San Francisco, CA
William C. Pack	Salomon Smith Barney	Saratoga, CA
Carol Van Bruggen	Securities Service Network, Inc.	Sacramento, CA

#### Committee members to serve until January 2005

Allan L. Herzog	Prudential Securities, Inc.	San Francisco, CA
Robert A. Muh	Sutter Securities, Inc.	San Francisco, CA
Vacancy		

#### District 1 Nominating Committee — Chair: Stephen R. Adams

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

#### Committee members

Stephen R. Adams	Wells Fargo Investments, LLC	San Francisco, CA
Janet W. Campbell	Protected Investors of America	Walnut Creek, CA
Glenn M. Colacurci	Salomon Smith Barney	San Francisco, CA
John C. Helmer	Caldwell Securities, Inc.	Danville, CA
Jerry D. Phillips	RBC Dain Rauscher, Inc.	San Francisco, CA

## District 2 Committee And District Nominating Committee Members

**Lani M. Woltmann, District Director**

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071

(213) 627-2122

### District 2 Committee — Chair: James R. Kruger

Members to be elected to terms expiring January 2006:

3

#### Committee members to serve until January 2003

Kellen M. Flanigan	Wells Fargo Securities, Inc.	Beverly Hills, CA
William H. Howard, Jr.	Seidler Companies	Irvine, CA
James R. Kruger	Dreyfus Brokerage Services, Inc.	Los Angeles, CA

#### Committee members to serve until January 2004

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

### District 2 Nominating Committee — Chair: George H. Casey

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

#### Committee members

George H. Casey	Crowell Weedon & Co.	Los Angeles, CA
Murray F. Finebaum	Trading Edge, Inc.	Santa Monica, CA
James B. Guillou, Sr.	RBS Dean Raucher, Inc.	La Jolla, CA
Dean A. Holmes	American General Financial Group	Anaheim, CA
Robert L. Winston	American Funds Distributors, Inc.	Los Angeles, CA

## District 3 Committee And District Nominating Committee Members

### Frank J. Birgfeld, District Director

Republic Plaza Building, 370 17th Street, Suite 2900, Denver, CO 80202-5629

(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 2006: 3

### Committee members to serve until January 2003

Steven M. Fishbein	United Securities Alliance, Inc.	Greenwood Village, CO
J. David Griswold	Frank Russell Company	Tacoma, WA
Vacancy		

### Committee members to serve until January 2004

Richard B. Bequette	CUE Financial Group, Inc.	Phoenix, AZ
George T. Diachok		Denver, CO
John M. Rose	Seattle-Northwest Securities Corporation	Seattle, WA
Kathryn A. Supko	Northwest Mutual Investment Services	Boise, ID

### Committee members to serve until January 2005

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

## District 3 Nominating Committee — Chair: Thomas Petrie

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

### Committee members

Thomas R. Hislop	Peacock, Hislop, Staley & Given, Inc.	Phoenix, AZ
John Morton	Morton Clarke Fu & Metcalf, Inc.	Seattle, WA
William G. Papesh	WM Funds Distributor, Inc.	Seattle, WA
Thomas Petrie	Petrie Parkman & Co., Inc.	Denver, CO
James E. Stark	Charles Schwab & Co., Inc.	Phoenix, AZ

## District 4 Committee And District Nominating Committee Member

**Thomas D. Clough, District Director**

120 W. 12th Street, Suite 900, Kansas City, MO 64105

(816) 421-5700

### District 4 Committee — Chair: E. John Moloney

Members to be elected to terms expiring January 2006:

3

#### Committee members to serve until January 2003

E. John Moloney	Moloney Securities Company, Inc.	St. Louis, MO
Rodger O. Riney	Scottrade, Inc.	St. Louis, MO
Jeffrey A. Schuh	Marquette Financial Group, Inc.	Minneapolis, MN
Gail Werner-Robertson	GWR Investments, Inc.	Omaha, NE

#### Committee members to serve until January 2004

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

#### Committee members to serve until January 2005

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

### District 4 Nominating Committee — Chair: Cheryl Cook-Schneider

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

#### Committee Members

Robert M. Chambers	Robert W. Baird & Co. Incorporated	West Des Moines, IA
Colleen Curran	American Express Financial Advisors, Inc.	Minneapolis, MN
Norman Frager	Flagstone Securities, LLC	Clayton, MO
John R. Lepley	Princor Financial Services Corp.	Des Moines, IA
Cheryl Cook-Schneider	Edward Jones	St. Louis, MO

## District 5 Committee And District Nominating Committee Members

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

1100 Poydras Street, Energy Centre, Suite 850, New Orleans, LA 70163-0802

(504) 522-6527

### District 5 Committee — Chair: James M. Rogers

Members to be elected to terms expiring January 2006: 3

#### Committee members to serve until January 2003

David A. Daugherty	James Baker & Associates, A Limited Partnership	Oklahoma City, OK
James M. Rogers	J.J.B. Hilliard, W.L. Lyons, Inc.	Louisville, KY
William Lucas Simons, Jr.	UBS PaineWebber Inc.	Nashville, TN

#### Committee members to serve until January 2004

David A. Knight	Stephens Inc.	Little Rock, AR
Lawrence J. Sisung	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	Mandeville, LA
James T. Ritt	Morgan Keegan & Company, Inc.	Memphis, TN

### District 5 Nominating Committee — Chair: Dene R. Shipp

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

#### Committee members

Carl W. Busch	Prudential Securities Incorporated	Oklahoma City, OK
William T. Griggs, II	Dupree & Company, Inc.	Lexington, KY
V. Hugo Marx, III	Hugo Marx & Co., Inc.	Birmingham, AL
Dene R. Shipp	SunTrust Robinson Humphrey Capital Markets	Nashville, TN
William L. Tedford, Jr.	Stephens Inc.	Little Rock, AR

## District 6 Committee And District Nominating Committee Members

**Bernerd E. Young, District Director**

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

(972) 701-8554

### District 6 Committee — Chair: Bryan T. Forman

Members to be elected to terms expiring January 2006:

3

#### Committee members to serve until January 2003

G. Clyde Buck	Sanders Morris Harris, Inc.	Houston, TX
Bryan T. Forman	First Avantus Securities, Inc.	Austin, TX
Daniel P. Son	Penson Financial Services, Inc.	Dallas, TX

#### Committee members to serve until January 2004

Christopher R. Allison	M.E. Allison & Co., Inc.	San Antonio, TX
David W. Turner	First Union 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 Securities Corporation	Fort Worth, TX
Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
V. Keith Roberts	American General Distributors	Houston, TX

### District 6 Nominating Committee — Chair: Daniel C. Dooley

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

#### Committee members

Daniel C. Dooley	Maplewood Investment Advisors, Inc.	Dallas, TX
Kenneth R. Hanks	SWS Securities, Inc.	Dallas, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX
Fredrick W. McGinnis	UBS PaineWebber Inc.	Houston, TX
Jim G. Rhodes	Rhodes Securities, Inc.	Fort Worth, TX



## District 7 Committee And District Nominating Committee Members

**Alan M. Wolper, District Director**

One Securities Centre, Suite 500, 3490 Piedmont Road, N.E., Atlanta, GA 30305

(404) 239-6100

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

Members to be elected to terms expiring January 2006:

3

#### Committee members to serve until January 2003

Michael D. Hearn, Esq.		Charlotte, NC
Collie W. Lehn	A.G. Edwards & Sons, Inc.	Laurens, SC
John W. Waechter	William R. Hough & Co.	St. Petersburg, FL

#### 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.	Atlanta, GA
Harold F. Corrigan	Merrill Lynch, Pierce, Fenner & Smith, Inc.	Palm Beach, FL

### District 7 Nominating Committee — Chair: M. Anthony Greene

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

#### Committee members

M. Anthony Greene	Raymond James Financial Services, Inc.	Atlanta, GA
James W. Hamilton, Jr.	Morgan Keegan & Co.	Atlanta, GA
Edward R. Hipp, III	Legg Mason Wood Walker, Inc.	Williamsburg, VA
Raymond W. Snow	Merrill Lynch	West Palm Beach, FL
Roark A. Young	Young, Stovall and Company	Miami, FL

## District 8 Committee And District Nominating Committee Members

### Carlotta A. Romano, District Director

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

(312) 899-4400

### William H. Jackson, Jr., District Director

Renaissance on Playhouse Square, 1350 Euclid Avenue, Suite 650, Cleveland, OH 44115

(216) 592-2950

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

Members to be elected to terms expiring January 2006:

3

### Committee members to serve until January 2003

Carol Podesta Foley	Podesta & Company	Chicago, IL
Renee M. Rombaut	Sage, Rutty & Co., Inc.	Rochester, NY

### 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	Kalamazoo, 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

## District 8 Nominating Committee — Chair: David Slavik

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

### Committee members

Wallen L. Crane	Salomon Smith Barney, Inc.	Toledo, OH
William F. Faulkner	Continental Capital Securities, Inc.	Sylvania, OH
Thomas Harenburg	Carl M. Hennig, Inc.	Oshkosh, WI
David Slavik	Pershing Division of Donaldson, Lufkin & Jenrette Securities Corp.	Oak Brook, IL
L. Gene Tanner	NatCity Investments, Inc.	Indianapolis, IN

## District 9 Committee And District Nominating Committee Members

### John P. Nocella, District Director

Eleven Penn Center, 1835 Market Street, Suite 1900, Philadelphia, PA 19103

(215) 665-1180

### Gary K. Liebowitz, District Director

581 Main Street, 7th Floor, Woodbridge, NJ 07905

(732) 596-2000

## District 9 Committee — Chair: James D. Lamke

Members to be elected to terms expiring January 2006: 3

### Committee members to serve until January 2003

James D. Lamke	Spear, Leeds & Kellogg, L.P.	Jersey City, NJ
John P. Meegan	Parker/Hunter Incorporated	Pittsburgh, PA
Lance A. Reihl	1717 Capital Management Company	Berwyn, PA
Lenda P. Washington	GRW Capital Corporation	Washington, DC

### Committee members to serve until January 2004

Jerry V. Duhovic	Datek OnLine Holdings Corp.	Jersey City, NJ
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	Donaldson, Lufkin & Jenrette Securities Corporation	Jersey City, NJ
Frank D. Ruscetti	Harvest Financial Corporation	Pittsburgh, PA

## District 9 Nominating Committee — Chair: Philip S. Cottone

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

### Committee members

Philip S. Cottone	Rutherford, Brown & Catherwood, LLC	Philadelphia, PA
A. Louis Denton	Philadelphia Corporation for Investment Services	Philadelphia, PA
Jerome J. Murphy	Janney Montgomery Scott LLC	Philadelphia, PA
Joseph S. Rizzello	Pershing Trading Company, L.P.	Jersey City, NJ
Gregory R. Zappala	RRZ Public Markets, Inc.	Cranberry Township, PA

## District 10 Committee And District Nominating Committee Members

**Cathleen F. Shine, District Director**

One Liberty Plaza, 165 Broadway, New York, NY 10006

(212) 858-4180

### District 10 Committee — Chair: Judith R. MacDonald

Members to be elected to terms expiring January 2006:

4

#### Committee members to serve until January 2003

Kevin J. Browne	Banc of America Securities	New York, NY
Judith R. MacDonald	Rothschild, Inc.	New York, NY
Stephen C. Strombelline	Barclays Capital Inc.	New York, NY

#### Committee members to serve until January 2004

Ruth S. Goodstein	PaineWebber Inc.	New York, NY
Patrick Remmert	Credit Suisse First Boston Corporation	New York, NY
Charles V. Senatore	Merrill Lynch Pierce Fenner & Smith Inc.	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
Joan E. Hoffman	Deutsche Banc Alex Brown Inc.	New York, NY
Nathalie P. Maio	Bear, Stearns & Co., Inc.	New York, NY
Bertram J. Riley Sr.	Petersen Investments, Inc.	New York, NY
Mark W. Ronda	Fahnestock & Co. Inc.	New York, NY

### District 10 Nominating Committee — Chair: Eugene A. Schlanger

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

#### Committee members

William P. Behrens	Northeast Securities, Inc.	New York, NY
Laurence H. Bertan	Sanford C. Bernstein & Co., LLC	New York, NY
Philip V. Oppenheimer	Oppenheimer & Close, Inc.	New York, NY
Eugene A. Schlanger	Nomura Securities International, Inc.	New York, NY
Tom M. Wirtshafter	American Portfolios Financial Services, Inc.	Holbrook, NY

## District 11 Committee And District Nominating Committee Members

**Fred McDonald, District Director**

260 Franklin Street, 16th Floor, Boston, MA 02110 (617) 261-0800

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### District 11 Committee — Chair: John D. Lane

Members to be elected to terms expiring January 2006: 3

#### Committee members to serve until January 2003

John D. Lane	Lane Capital Markets, LLC	Fairfield, CT
Deborah G. Ullman	Phoenix Equity Planning Corporation	Hartford, CT
Peter T. Wheeler	Commonwealth Financial Network	Waltham, MA

#### 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

### District 11 Nominating Committee — Chair: Arthur F. Grant

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

#### Committee members

Harry Branning	Linsco/Private Ledger Corp.	Glastonbury, CT
Stephen O. Buff	Fleet Securities, Inc.	Boston, MA
Sheldon Fechter	Fechter, Detwiler & Co., Inc.	Boston, MA
Arthur F. Grant	Cadaret, Grant & Co., Inc.	Syracuse, NY
Dennis R. Surprenant	Cantella & Co., Inc.	Boston, MA

## 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 ("the Corporation") 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 staff with information considered relevant to the nominating process, including statistical data pertaining to the District membership.

3. The Secretary of NASD 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 NASD Web Site ([www.nasd.com](http://www.nasd.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 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.

7. 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 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 - #12.  
  
If an additional candidate does not come forward within 14 days, the election of committee members is complete.
10. 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 *Notice to Members* referenced in #8, unless the Secretary of NASD grants additional time for good cause shown.
11. 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.
12. 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 Securities | <input type="radio"/> Other              |
|   | _____                                    |
|   | _____                                    |

### Memberships/Positions Held in Trade or Business Organizations

_____
_____
_____

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

<input type="radio"/> Committee Member (Identify committee: _____ )	Approx. Dates: _____
<input type="radio"/> Arbitrator	Approx. Dates: _____
<input type="radio"/> Mediator	Approx. Dates: _____
<input type="radio"/> Expert Witness (arbitrations; disciplinary proceedings):	Approx. Dates: _____
<input type="radio"/> Other:	Approx. Dates: _____

### Educational Background

School: _____	Degree: _____
School: _____	Degree: _____



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*Notices to Members* (December 1996 to current) are also available on the Internet at [www.nasdr.com](http://www.nasdr.com).