

INFORMATIONAL

District Elections

Nominees For District Committee And District Nominating Committee

SUGGESTED ROUTING

The Suggested Routing function is meant to aid the reader of this document. Each NASD member firm should consider the appropriate distribution in the context of its own organizational structure.

- Legal & Compliance
- Operations
- Registration
- Senior Management

KEY TOPICS

- District Elections

Executive Summary

The purpose of this *Special Notice to Members* is to announce the nominees for the District Committees and the District Nominating Committees. The individuals identified in this *Special Notice to Members* (see Attachment A) have been nominated for three-year terms on the District Committees and for one-year terms on the District Nominating Committees starting in January 2002. These nominees will be considered duly elected on **November 1, 2001**, unless an election is contested in accordance with the procedures summarized below.

We appreciate the interest shown by many of you in participating in the District Committees and thank everyone for their continuing support of the self-regulatory process. We look forward to your participation in the matters of the Districts during the coming year, as well as hope that those who were not selected this year may wish to revisit this process next year.

Contested Election Procedures

If an officer, director, or employee of a National Association of Securities Dealers, Inc. (NASD®) member is interested in being considered as an additional candidate, he/she must indicate his/her interest to the District Director by **October 31, 2001**. If an additional candidate(s) comes forward by that date, the candidate has until **December 3, 2001** to submit a petition to the District Nominating Committee with signatures from at least 10 percent of Executive Representatives of members eligible to vote in the District.

If no additional candidates submit petitions by **December 3, 2001**, then the candidates nominated by the District Nominating Committee shall be considered elected, and the District Committee shall certify the election to the Board of Directors of NASD Regulation.

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

Questions/Further Information

Questions concerning this *Special Notice* may be directed to the District Director noted in Attachment A 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.

Special NASD Notice to Members 01-69

ATTACHMENT A

District Committee And District Nominating Committee Nominees

District 1

Elisabeth P. Owens, District Director

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

(415) 882-1200

Northern California (the counties of Monterey, San Benito, Fresno, and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye, and the remainder of the state north or west of such counties), and Hawaii

2001 District Nominating Committee Chair

Nicholas C. Cochran

American Investors Company

Dublin, CA

District Committee Nominees

Raymond J. Cyphers

UBS PaineWebber, Inc.

San Jose, CA

Allan L. Herzog

Prudential Securities, Inc.

San Francisco, CA

Robert A. Muh

Sutter Securities, Inc.

San Francisco, CA

District Nominating Committee Nominees

Stephen R. Adams

Wells Fargo Van Kasper

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

Sutro & Co.

San Francisco, CA

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District Committee And District Nominating Committee Nominees**District 2****Lani M. Woltmann, District Director**

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

(213) 627-2122

Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno, and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye), and the former U.S. Trust Territories

2001 District Nominating Committee Chair

Jerry M. Gluck

Jefferies & Company, Inc.

Los Angeles, CA

District Committee Nominees

Kevin J. Hart

Sentra Securities Corp.
c/o SunAmerica Financial Network, Inc.Woodland Hills, CA

Joan A. Payden

Payden & Rygel

Los Angeles, CA

Joel H. Ravitz

Quincy Cass Associates, Inc.

Los Angeles, CA

Guy W. Williams

Merrill Lynch Pierce Fenner & Smith, Inc.

Laguna Hills, CA

District Nominating Committee Nominees

George H. Casey

Crowell Weedon & Co.

Los Angeles, CA

Murray L. Finebaum

Market Axess, Inc.

Santa Monica, CA

James B. Guillou

Tucker Anthony Sutro, Inc

La Jolla, CA

Dean A. Holmes

American General Financial Group

Anaheim, CA

Robert L. Winston

American Funds Distributors, Inc.

Los Angeles, CA

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District Committee And District Nominating Committee Nominees

District 3

Frank J. Birgfeld, District Director

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

(303) 446-3100

Arizona, Colorado, New Mexico, Utah, and Wyoming

James G. Dawson, District Director

Two Union Square, 601 Union, Suite 1616, Seattle, WA 98101-2327

(206) 624-0790

Alaska, Idaho, Montana, Oregon, and Washington

2001 District Nominating Committee Chair

Douglas Strand

Strand, Atkinson, Williams & York, Inc.

Portland, OR

District Committee Nominees

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

District Nominating Committee Nominees

Thomas R. Hislop

Peacock, Hislop, Staley & Given, Inc.

Phoenix, AZ

John Morton

Morton Clarke Fu & Metcalf, Inc.

Seattle, WA

William G. Papesh

WM Fund Distributor, Inc.

Seattle, WA

Thomas Petrie

Petrie Parkman & Co., Inc.

Denver, CO

James E. Stark

Charles Schwab & Co., Inc.

Phoenix, AZ

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District Committee And District Nominating Committee Nominees**District 4****Thomas D. Clough, District Director**

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

(816) 421-5700

Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota

2001 District Nominating Committee Chair

Wayne H. Pererson

USALLANZ Investor Services, LLC

Minneapolis, MN

District Committee Nominees

William R. Giovanni

Ameritas Investment Corp.

Lincoln, NE

Frank H. Kirk

First Union Securities, Inc.

Kansas City, MO

James H. Warner

The Warner Group, Inc.

Sioux City, IA

District Nominating Committee Nominees

Robert M. Chambers

Robert W. Baird & Co. Incorporated

Des Moines, IA

Cheryl Cook-Schneider

Edward Jones

St. Louis, MO

Norman Frager

Flagstone Securities

St. Louis, MO

John R. Lepley

Princor Financial Services Corp.

Des Moines, IA

Brent M. Weisenborn

Security Investment Company of Kansas City

Kansas City, MO

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District Committee And District Nominating Committee Nominees

District 5

Warren A. Butler, Jr., District Director

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

(504) 522-6527

Alabama, Arkansas, Kentucky, Louisiana, Mississippi, Oklahoma, and Tennessee

2001 District Nominating Committee Chair

Jerry Roberts

Sterne, Agee & Leach, Inc.

Little Rock, AR

District Committee Nominees

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 Nominating Committee Nominees

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 Equitable Securities, Inc.

Nashville, TN

William L. Tedford, Jr.

Stephens Inc.

Little Rock, AR

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District Committee And District Nominating Committee Nominees

District 6

Bernerd E. Young, District Director

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

(972) 701-8554

Texas

2001 District Nominating Committee Chair

William D. Connally

Greenman Parker Connally, Greenman, Inc.

Fort Worth, TX

District Committee Nominees

Donaldson D. Frizzell

First Command Securities Corporation

Fort Worth, TX

Sennett Kirk, III

Kirk Securities Corporation

Denton, TX

V. Keith Roberts

American General Distributors, Inc.

Houston, TX

Daniel P. Son

Penson Financial Services, Inc.

Dallas, TX

District Nominating Committee Nominees

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

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District Committee And District Nominating Committee Nominees

District 7

Alan M. Wolper, District Director

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

(404) 239-6100

Florida, Georgia, North Carolina, South Carolina, Virginia, Puerto Rico, the Canal Zone, and the Virgin Islands

2001 District Nominating Committee Chair

R. Charles Shufeldt

SunTrust Banks, Inc.

Atlanta, GA

District Committee Nominees

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 Nominating Committee Nominees

M. Anthony Greene

Raymond James Financial Services, Inc.

Atlanta, GA

James W. Hamilton, Jr.

Morgan Keegan & Co.

Atlanta, GA

Edward R. Hipp, III

Centura Securities, Inc.

Rocky Mount, NC

Raymond W. Snow

Merrill Lynch, Pierce, Fenner & Smith, Inc.

West Palm Beach, FL

Roark A. Young

Young, Stovall & Company

Miami, FL

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District Committee And District Nominating Committee Nominees**District 8****Carlotta A. Romano, District Director**

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

(312) 899-4400

*Illinois, Indiana, Michigan, and Wisconsin***William H. Jackson, Jr., District Director**

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

(216) 592-2950

Ohio and part of upstate New York (the counties of Monroe, Livingston, and Steuben, and the remainder of the state west of such counties)

2001 District Nominating Committee Chair

Leonard L. Anderson

Stifel Nicolaus & Company, Inc.

Grand Haven, MI

District Committee Nominees

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 Nominating Committee Nominees

Wallen L. Crane, Jr.

Salomon Smith Barney, Inc.

Toledo, OH

William L. Faulkner

Continental Capital Securities, Inc.

Sylvania, OH

Thomas Harenburg

Carl M. Hennig, Inc.

Oshkosh, WI

David Slavik

Pershing Division of Donaldson, Lufkin & Jenrette

Oak Brook, IL

L. Gene Tanner

NatCity Investments, Inc.

Indianapolis, IN

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District Committee And District Nominating Committee Nominees

District 9

John P. Nocella, District Director

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

(215) 665-1180

Delaware, Pennsylvania, West Virginia, District of Columbia, Maryland, and the southern part of New Jersey in the immediate Philadelphia vicinity

Gary K. Liebowitz, District Director

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

(732) 596-2000

New Jersey (except southern New Jersey in the immediate Philadelphia vicinity)

2001 District Nominating Committee Chair

James J. Malespina

Herzog, Heine, Geduld, Inc.

Jersey City, NJ

District Committee Nominees

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 Nominating Committee Nominees

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

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District Committee And District Nominating Committee Nominees**District 10****Cathleen Shine, District Director**

33 Whitehall Street, New York, NY 10004

(646) 441-3000

The five boroughs of New York City, and Long Island

2001 District Nominating Committee Chair

Laurence H. Bertan

Sanford C. Bernstein & Co., LLC

New York, NY

District Committee Nominees

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

Prime Charter Ltd.

New York, NY

District Nominating Committee Nominees

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

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District Committee And District Nominating Committee Nominees

District 11

Frederick F. McDonald, District Director

260 Franklin Street, 16th Floor, Boston, MA 02110

(617) 261-0800

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont, and New York (except for the counties of Monroe, Livingston, and Steuben; the five boroughs of New York City; and Long Island)

2001 District Nominating Committee Chair

Stephanie Brown

Linsco/Private Ledger Corp.

Boston, MA

District Committee Nominees

Michael C. Braun

Moors & Cabot, Inc.

Boston, MA

Andrew F. Detwiler

Fechtor, Detwiler & Co. Inc.

Boston, MA

Thomas J. Horack

John Hancock Life Insurance Company

Boston, MA

District Nominating Committee Nominees

Harry Branning

Linsco/Private Ledger Corp.

Glastonbury, CT

Stephen O. Buff

Fleet Securities, Inc.

Boston, MA

Sheldon Fechter

Fechtor, Detwiler & Co., Inc.

Boston, MA

Arthur F. Grant

Cadaret, Grant & Co., Inc.

Syracuse, NY

Dennis Surprenant

Cantella & Co., Inc.

Boston, MA
