

INFORMATIONAL

District Elections

NASD Informs Members Of Upcoming District Committee And District Nominating Committee Elections

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 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 2002, 2003, and 2004 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) and returning it by **July 18, 2001**.

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 17, 2001**.

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 National Association of Securities Dealers, Inc. (NASD) Member Firm Contact Questionnaire (NMFCQ) located on the NASD Regulation Web Site (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 the CRD/PD Gateway 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.

Special NASD Notice to Members 01-43

ATTACHMENT A

District Committee And District Nominating Committee Members

District 1

Elisabeth P. Owens, District Director

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

(415) 882-1200

District 1 Committee

Members to be elected to terms expiring January 2005: 3

Chair: John H. Chung

Committee Members

To Serve Until January 2002

John H. Chung	Wells Fargo VanKasper	San Francisco, CA
Steven D. Piper	Epoch Securities, Inc.	San Francisco, CA

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
Henry W. Carter		Seaside, CA

To Serve Until January 2004

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

District 1 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Nicholas C. Cochran

Committee Members

Steven R. Aaron	J.P. Morgan, H & Q, Inc.	San Francisco, CA
Stephen R. Adams	Wells Fargo Van Kasper	San Francisco, CA
Nicholas C. Cochran	American Investors Company	Dublin, CA
John C. Helmer	Caldwell Securities, Inc.	Danville, CA
William A. Svoboda	Morgan Stanley Dean Witter	San Jose, CA

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District Committee And District Nominating Committee Members

District 2

Lani M. Woltmann, District Director

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

(213) 627-2122

District 2 Committee

Members to be elected to terms expiring January 2005: 4

Chair: Dean A. Holmes

Committee Members

To Serve Until January 2002

Margaret M. Black	Morgan Stanley Dean Witter	Beverly Hills, CA
Diane P. Blakeslee	Blakeslee & Blakeslee, Inc.	San Luis Obispo, CA
Jack R. Handy, Jr.	Financial Network Investment Corporation	Torrance, CA
Dean A. Holmes	American General Financial Group	Anaheim, CA

To Serve Until January 2003

Kellen M. Flanigan	Wells Fargo Securities, Inc.	Beverly Hills, CA
William H. Howard, Jr.	Hagerty, Stewart & Associates	Irvine, CA
James R. Kruger	Dreyfus Brokerage Services, Inc.	Los Angeles, CA
Stephen P. Maguire	Maguire Investments, Inc.	Santa Maria, CA

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 Securities Corporation	Los Angeles, CA

District 2 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Jerry M. Gluck

Committee Members

Murray L. Finebaum	Trading Edge, Inc.	Santa Monica, CA
Jerry M. Gluck	Jefferies and Company, Inc.	Los Angeles, CA
James B. Guillou, Sr.	Sutro & Co., Incorporated	LaJolla, CA
Joan B. Seidel	Morton Seidel & Company, Inc.	Los Angeles, CA
Kaye M. Woltman	Girard Securities, Inc.	San Diego, CA

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District Committee And District Nominating Committee Members

District 3

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

Members to be elected to terms expiring January 2005: 3

Chair: James E. Stark

Committee Members

To Serve Until January 2002

James Barnyak	Salomon Smith Barney, Inc.	Seattle, WA
David Griswold	Frank Russell Securities, Inc.	Tacoma, WA
James E. Stark	Charles Schwab & Co., Inc.	Phoenix, AZ

To Serve Until January 2003

Steven M. Fishbein	Auerbach, Pollack & Richardson Inc.	Denver, CO
Bruce Kramer	Prudential Securities Incorporated	Seattle, WA

To Serve Until January 2004

Richard B. Bequette	CUE Financial Group, Inc.	Phoenix, AZ
George T. Diachok	Multi-Financial Securities Corporation	Denver, CO
John M. Rose	Seattle-Northwest Securities Corporation	Seattle, WA
Kathryn A. Supko	Robert W. Baird & Co., Incorporated	Boise, ID

District 3 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Douglas Strand

Committee Members

Tim Ganahl	Wells Fargo Investments LLC	Seattle, WA
Thomas R. Hislop	Peacock, Hislop, Staley & Given, Inc.	Phoenix, AZ
John Morton	Morton Clarke Fu & Metcalf, Inc.	Seattle, WA
Thomas Petrie	Petrie Parkman & Co., Inc.	Denver, CO
Douglas Strand	Strand, Atkinson, Williams & York, Inc.	Portland, OR

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District Committee And District Nominating Committee Members

District 4

Thomas D. Clough, District Director

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

(816) 421-5700

District 4 Committee

Members to be elected to terms expiring January 2005: 3

Chair: E. John Moloney

Committee Members

To Serve Until January 2002

Robert M. Chambers	Robert W. Baird & Co.	Des Moines, IA
John R. Lepley	Princor Financial Services Corp.	Des Moines, IA
William M. Lyons	American Century Investment Services, Inc.	Kansas City, MO

To Serve Until January 2003

E. John Moloney	Moloney Securities Company	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

To Serve Until January 2004

Gene M. Diedrich	A.G. Edwards & Sons, Inc.	Overland Park, KS
Jonathan M. Harris	Dain Rauscher, Inc.	Minneapolis, MN
Timothy J. Lyle	Trusted Securities Advisors Corp.	Minneapolis, MN
Pamela Kay Reintz Ziermann	Dougherty & Company	Minneapolis, MN

District 4 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Wayne H. Peterson

Committee Members

John D. Cleland	Security Distributors, Inc.	Topeka, KS
Antonio J. Cecin	U.S. Bancorp Piper Jaffray, Inc.	Minneapolis, MN
Cheryl Cook-Schneider	Edward Jones	St. Louis, MO
Wayne H. Peterson	USALLIANZ Investor Services, LLC	Minneapolis, MN
Brent M. Weisenborn	Security Investment Company of Kansas City	Kansas City, MO

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District Committee And District Nominating Committee Members

District 5

Warren A. Butler, Jr., District Director

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

(504) 522-6527

District 5 Committee

Members to be elected to terms expiring January 2005: 3

Chair: Duncan F. Williams

Committee Members

To Serve Until January 2002

James D. Hudgins	SouthTrust Securities, Inc.	Birmingham, AL
LeRoy H. Paris, II	Invest Linc Securities, Inc.	Jackson, MS
Duncan F. Williams	Duncan-Williams, Inc.	Memphis, TN

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
W. Lucas Simons	UBS PaineWebber Inc.	Nashville, TN

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, L.L.C.	Nashville, TN

District 5 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Jerry Roberts

Committee Members

Benjamin D. Capshaw, III	Morgan Stanley Dean Witter	New Orleans, LA
V. Hugo Marx, III	Hugo Marx & Co., Inc.	Birmingham, AL
Colin A. P. McNease	UBS PaineWebber Inc.	Jackson, MS
Jerry Roberts	Sterne, Agee & Leach, Inc.	Little Rock, AR
Dene R. Shipp	SunTrust Equitable Securities, Inc.	Nashville, TN

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District Committee And District Nominating Committee Members

District 6

Bernerd E. Young, District Director

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

(972) 701-8554

District 6 Committee

Members to be elected to terms expiring January 2005: 3

Members to be elected to terms expiring January 2003: 1

Chair: Fredrick W. McGinnis

Committee Members

To Serve Until January 2002

Karen L. Banks	Frost Brokerage Services, Inc.	San Antonio, TX
Fredrick W. McGinnis	UBS PaineWebber, Inc.	Houston, TX
Joseph H. Storthz	Transamerica Financial Advisors, Inc.	Houston, TX

To Serve Until January 2003

G. Clyde Buck	Sanders Morris Harris, Inc.	Houston, TX
Bryan T. Forman	First Avantus Securities, Inc.	Austin, TX

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

District 6 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: William D. Connally

Committee Members

Jane E. Bates	Stanford Group Company	Houston, TX
William D. Connally	Greenman Parker Connally Greenman, Inc.	Ft. Worth, TX
Malcolm L. Cooper	Dain Rauscher, Inc.	Austin, TX
Daniel C. Dooley	Maplewood Investment Advisors, Inc.	Dallas, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX

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District Committee And District Nominating Committee Members

District 7

Alan M. Wolper, District Director

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

(404) 239-6100

District 7 Committee

Members to be elected to terms expiring January 2005: 3

Chair: Edward R. Hipp, III

Committee Members

To Serve Until January 2002

James W. Hamilton, Jr.	Morgan Keegan & Co.	Atlanta, GA
Edward R. Hipp, III	Centura Securities, Inc.	Rocky Mount, NC
Roark A. Young	Young, Stovall and Company	Miami, FL

To Serve Until January 2003

Michael D. Hearn, Esq.	Wachovia Securities, Inc.	Charlotte, NC
Collie W. Lehn	A.G. Edwards & Sons, Inc.	Laurens, SC
Charles E. Scarlett, Esq.	First Union Securities Financial Network, Inc.	Boca Raton, FL
John W. Waechter	William R. Hough & Co.	St. Petersburg, FL

To Serve Until January 2004

Kenneth W. McGrath	Popular Securities, Inc.	Hato Rey, Puerto Rico
Sharon K. Milligan	Morgan Stanley Dean Witter	Tampa, FL
C. John O'Bryant, III	Legg Mason Wood Walker, Inc.	Raleigh, NC
Charles R. Roberts	Branch, Cabell & Co., Inc.	Richmond, VA

District 7 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: R. Charles Shufeldt

Committee Members

Robert M. Balentine	Balentine & Company	Atlanta, GA
Robert J. Brietz	Bank of America	Charlotte, NC
M. Anthony Greene	Raymond James Financial Services, Inc.	Atlanta, GA
R. Charles Shufeldt	SunTrust Banks	Atlanta, GA
Raymond W. Snow	Merrill Lynch	West Palm Beach, FL

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District Committee And District Nominating Committee Members

District 8

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

Members to be elected to terms expiring January 2005: 5

Chair: Mary D. Esser

Committee Members

To Serve Until January 2002

R. Jack Conley	VESTAX Securities Corporation	Hudson, OH
Mary D. Esser	Cressman Esser Securities, Inc.	Naperville, IL
Glen Hackmann	Robert W. Baird & Co., Inc.	Milwaukee, WI
Robert A. Perrier	Butler, Wick & Co., Inc.	Cleveland, OH
Kathleen A. Wieland	William Blair & Company, L.L.C.	Chicago, IL

To Serve Until January 2003

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

To Serve Until January 2004

George E. Bates	Bates Securities, Inc.	Rockford, IL
Gregory W. Goelzer	Goelzer Investment Management, Inc.	Indianapolis, IN
John A. Hawke	Howe Barnes Investments, Inc.	Chicago, IL
Jay B. Mackenzie	Prudential Securities Incorporated	Kalamazoo, MI

District 8 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Leonard L. Anderson

Committee Members

Leonard L. Anderson	Stifel, Nicolaus & Co., Inc.	Grand Haven, MI
David L. Baker	Baker and Company, Inc.	Cleveland, OH
Thomas Harenburg	Carl M. Hennig, Inc.	Oshkosh, WI
David Slavik	Pershing Division of Donaldson, Lufkin & Jenrette Securities Corporation	Oak Brook, IL
G. Donald Steel	Planned Investment Co., Inc.	Indianapolis, IN

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District Committee And District Nominating Committee Members

District 9

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

Members to be elected to terms expiring January 2005: 3

Chair: A. Louis Denton

Committee Members

To Serve Until January 2002

A. Louis Denton	Philadelphia Corporation for Investment Services	Philadelphia, PA
Joseph S. Rizzello	Pershing Trading Company, L.P.	Jersey City, NJ
Gregory R. Zappala	RRZ Public Markets, Inc.	Cranberry Township, PA

To Serve Until January 2003

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

To Serve Until January 2004

Jerry V. Duhovic	Datek OnLine Brokerage Services LLC	Jersey City, NJ
Kimberly Tillotson Fleming	Hefren-Tillotson, Inc.	Pittsburgh, PA
Howard B. Scherer	Janney Montgomery Scott LLC	Philadelphia, PA
Mark Thomas Whaley	Gibraltar Securities Co., a division of Tucker, Anthony Incorporated	Florham Park, NJ

District 9 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: James J. Malespina

Committee Members

Philip S. Cottone	Rutherford, Brown & Catherwood, LLC	Philadelphia, PA
Victor M. Frye	Calvert Distributors, Inc.	Bethesda, MD
Allen S. Jacobson	Gibraltar Securities Co., a division of Tucker, Anthony Incorporated	Florham Park, NJ
James J. Malespina	Herzog, Heine, Geduld, Inc.	Jersey City, NJ
Jerome J. Murphy	Janney Montgomery Scott, LLC	Philadelphia, PA

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District Committee And District Nominating Committee Members

District 10

Joseph M. McCarthy, Deputy District Director

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

(212) 858-4265

District 10 Committee

Members to be elected to terms expiring January 2005: 5

Chair: Eugene A. Schlanger

Committee Members

To Serve Until January 2002

John Iachello	ABN ARMO Securities LLC	New York, NY
Philip V. Oppenheimer	Oppenheimer & Close Inc.	New York, NY
Gary Salamone	BNY Clearing Services, LLC	New York, NY
Eugene A. Schlanger	Nomura Securities International, Inc.	New York, NY
Tom M. Wirtshafter	Nathan & Lewis Securities Inc.	New York, NY

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

To Serve Until January 2004

Constantine Gus Economos	Sandler O'Neill & Partners LP	New York, NY
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

District 10 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Laurence H. Bertan

Committee Members

William P. Behrens	Investec Ernst & Company	New York, NY
Laurence H. Bertan	Sanford C. Bernstein & Co., Inc.	New York, NY
Frank F. DiGregorio	Credit Suisse First Boston Corporation	New York, NY
Vicki Z. Holleman	Loeb Partners Corporation	New York, NY
Stuart L. Sindell	Datek Online Brokerage Services LLC	New York, NY

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District Committee And District Nominating Committee Members

District 11

Fred McDonald, District Director

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

(617) 261-0800

District 11 Committee

Members to be elected to terms expiring January 2005: 3

Chair: Stephen O. Buff

Committee Members

To Serve Until January 2002

Stephen O. Buff	Fleet Securities, Inc.	Boston, MA
Dennis R. Surprenant	Cantella & Co., Inc.	Boston, MA

To Serve Until January 2003

John D. Lane	Mercer Partners, Inc.	Southport, CT
Deborah G. Ullman	American Skandia Marketing, Inc.	Shelton, CT
Peter T. Wheeler	Commonwealth Financial Network	Waltham, MA

To Serve Until January 2004

Stephen Anikewich, Jr.	UBS Warburg LLC	Stamford, CT
John I. Fitzgerald	American General Funds Distributors, Inc.	Boston, MA
Robert V. Rodia	People's Securities, Inc.	Bridgeport, CT
Gregory D. Teese	Equity Services, Inc.	Montpelier, VT

District 11 Nominating Committee

Members to be elected to terms expiring January 2003: 5

Chair: Stephanie Brown

Committee Members

Harry H. Branning	Advest, Inc.	Hartford, CT
Stephanie Brown	Linsco/Private Ledger, Corp.	Boston, MA
Sheldon Fechter	Fechter, Detwiler & Co., Inc.	Boston, MA
Arthur F. Grant	Cadaret, Grant & Co., Inc.	Syracuse, NY
Frank V. Knox, Jr.	Fidelity Distributors Corporation	Boston, MA

ATTACHMENT B

District Election Procedures For District Committees And District Nominating Committees

Regular Election

1. Each NASD Regulation 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, Inc. ("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 Corporation staff with information considered relevant to the nominating process, including analytical data pertaining to the District membership.
3. The Secretary of NASD Regulation and the Membership Department will e-mail a reminder to all members of their responsibility and obligation to keep current and accurate information on their Executive Representatives and branch office addresses. The e-mail will contain a reference to the NASDR Web Site (www.nasdr.com) and detail the process for changing a firm's Executive Representative. This e-mail will 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 the Corporation on behalf of the District Committee Chairman 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 sections of the District and all classes 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 District profile information provided by Corporation 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.

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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.
9. If an officer, director, or employee of an NASD member is interested in being considered as an additional candidate, 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 Regulation 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.

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Candidate Profile Sheet

Current Employment

Name:CRD#:

Firm:

Title:

Primary areas of responsibility:

Address:

City/state/zip:No. of Registered People at Firm:

Phone: Fax: E-mail:

Prior Employment (List the most recent first. Feel free to include extra pages if necessary.)

Firm:

Title:

Primary areas of responsibility:

Address:

City/state/zip:

Dates employed:No. of Registered People at Firm:

Firm:

Title:

Primary areas of responsibility:

Address:

City/state/zip:

Dates employed:No. of Registered People at Firm:

General Areas of Expertise (please check all that apply)

☐ Compliance/Legal

☐ Corporate Finance

☐ Financial & Regulatory Reporting

☐ Institutional Sales

☐ Investment Advisory

☐ Operations

☐ Retail Sales

☐ Trading/Market Making

☐ Other:

Product Expertise (please check all that apply)

☐ Corporate Bonds

☐ Direct Participation Programs

☐ Equity Securities

☐ Government Securities

☐ Investment Company

☐ Municipal Securities

☐ Options

☐ Variable Contracts 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:) Dates served:

☐ Arbitrator Dates served: ☐ Mediator Dates served:

☐ Other: Dates served:

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.