District Committees And District Nominating Committees

NASD Informs Members Of Election Results For District Committees And District Nominating Committees

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.

• Executive Representatives
• Legal & Compliance
• Senior Management

KEY TOPICS

• District Committee Membership

Executive Summary

Through this Notice, the National Association of Securities Dealers, Inc. (NASD®) announces the election results for the 2000 District Committees and the District Nominating Committees. The Committees’ members are included in Exhibit I.

Questions/Further Information

Questions concerning this Notice may be directed to the District Director noted or to Joan Conley, Corporate Secretary, NASD, at (202) 728-8381.

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EXHIBIT I

NASD Notice to Members 99-89

DISTRICT 1
Elisabeth P. Owens, District Director
525 Market Street, Suite 300
San Francisco, CA 94105
(415) 882-1200

District Committee Members

To Serve Until January 2001

Steven R. Aaron
Hambrecht & Quist LLC, San Francisco, CA

Janet W. Campbell
Protected Investors of America, Walnut Creek, CA

Douglas C. Heske
U.S. Bancorp Piper Jaffray, San Francisco, CA

To Serve Until January 2002

John H. Chung
First Security VanKasper, San Francisco, CA

Steven D. Piper
Volpe Brown Whelan & Co., LLC, 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
E*Trade Securities, Inc., Menlo Park, CA

District Nominating Committee Members

Nicholas C. Cochran
American Investors Company, Dublin, CA

Deborah R. Gatzek
Franklin/Templeton Distributors, San Mateo, CA

John F. Luikart
Sutro & Co Incorporated, San Francisco, CA

John E. Schmidt
Credit Suisse First Boston, San Francisco, CA

William A. Svoboda
Morgan Stanley Dean Witter, San Jose, CA
District Committee Members

To Serve Until January 2001

James B. Guillou, Sr.
Sutro & Co., Incorporated, La Jolla, CA

Andrew E. Haas
Bear Stearns & Co., Inc., Los Angeles, CA

Richard E. Wiseley
CIBC Oppenheimer & Co., Inc., Los Angeles, CA

Richard P. Woltman
Spelman & Co., Inc., San Diego, CA

To Serve Until January 2002

Margaret M. Black
Morgan Stanley Dean Witter, Beverly Hills, CA

Diane P. Blakeslee
Blakeslee and 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
Dabney Flanigan, LLC, Los Angeles, CA

William H. Howard, Jr.
Hagerty, Stewart & Associates, Irvine, CA

James R. Kruger
Dreyfus Brokerage Services, Inc., Beverly Hills, CA

Stephen P. Maguire
Maguire Investments, Inc., Santa Maria, CA

District Nominating Committee Members

Jerry M. Gluck
Jefferies and Company, Inc., Los Angeles, CA

Carl E. Lindros
Santa Barbara Securities, Inc., Santa Barbara, CA

Joan B. Seidel
Morton Seidel & Company, Inc., Beverly Hills, CA

Robert L. Winston
American Funds Distributors, Inc., Los Angeles, CA

Kaye M. Woltman
Girard Securities, Inc., San Diego, CA
District Committee Members

To Serve Until January 2001

Thomas R. Hislop
Peacock, Hislop, Staley & Given, Inc., Phoenix, AZ

Gerald Meyer
D.A. Davidson & Co., Great Falls, MT

John Morton
Morton Clarke Fu & Metcalf, Inc., Seattle, WA

Terry Richards
PaineWebber, Inc., Salt Lake City, UT

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., Phoenix, AZ

Thomas Williams
TIAA/CREF, Denver, CO

To Serve Until January 2003

J. Pamela Dawson
WM Financial Services, Seattle, WA

Steven M. Fishbein
American Fronteer Financial Corp., Denver, CO

John K. Hinfey
United Planners’ Financial Services of America, LTD.
Scottsdale, AZ

Bruce Kramer
Prudential Securities, Seattle, WA

District Nominating Committee Members

J. Wendell Garrett
J.W. Garrett & Company, Inc., Phoenix, AZ

James Kerr
Ragen MacKenzie, Inc., Seattle, WA

Steven Larson
Richards, Merrill & Peterson, Inc., Spokane, WA

Anthony Petrelli
Neidiger, Tucker, Bruner, Inc., Denver, CO

Douglas Strand
Strand, Atkinson, Williams & York, Inc., Portland, OR
District Committee Members

To Serve Until January 2001

Antonio J. Cecin
Piper Jaffray Inc., Minneapolis, MN

Cheryl Cook-Schneider
Edward Jones, St. Louis, MO

Robert J. Goodmanson

Brent M. Weisenborn
Security Investment Company of Kansas City
Kansas City, MO

To Serve Until January 2002

Robert M. Chambers
Chambers Martin & 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

Nancy E. Varner
Mercantile Investment Services Inc., St. Louis, MO

To Serve Until January 2003

E. John Moloney
Moloney Securities Company, St. Louis, MO

Rodger O. Riney
Scottsdale Securities, Inc., St. Louis, MO

Jeffrey A. Schuh
Offerman & Company, Minneapolis, MN

Gail Werner-Robertson
GWR Investments, Inc., Omaha, NE

District Nominating Committee Members

John D. Cleland
Security Distributors, Inc., Topeka, KS

Colleen Curran
American Express Financial Advisors Inc., Minneapolis, MN

Albert W. Lauth
First St. Louis Securities, Inc., St. Louis, MO

Todd W. Miller
Miller, Johnson & Kuehn, Incorporated
Minneapolis, MN

Wayne H. Peterson
Washington Square Securities, Inc., Minneapolis, MN
District Committee Members

To Serve Until January 2001

Benjamin D. Capshaw, III
Morgan Stanley Dean Witter, New Orleans, LA

James S. Jones
Crews & Associates, Inc., Little Rock, AR

Dene R. Shipp
SunTrust Equitable Securities, Nashville, TN

John C. West
EVEREN Securities, Inc., Memphis, TN

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
J. C. Bradford & Co., Memphis, TN

District Nominating Committee Members

J. French Hill
Delta Trust Investments, Inc., Little Rock, AR

David S. Patrick
Wheat, First Securities, Inc., Montgomery, AL

William T. Patterson
Morgan Keegan & Company, Inc., Jackson, MS

Jerry Roberts
Sterne, Agee & Leach, Inc., Little Rock, AR

Miguel Uria
Oro Financial, Inc., New Orleans, LA
District Committee Members

To Serve Until January 2001

Daniel C. Dooley
May Financial Corp., Dallas, TX

Ronald J. Gard
Salomon Smith Barney, Inc., Dallas, TX

Jim G. Rhodes
Rhodes Securities, Inc., Ft. Worth, TX

To Serve Until January 2002

Fredrick W. McGinnis
PaineWebber Inc., Houston, TX

Sue H. Peden
Brokers Transaction Services, Inc., Dallas, TX

Joseph H. Storthz
Transamerica Financial Resources, Houston, TX

To Serve Until January 2003

George C. Buck
Harris Webb & Garrison, Inc., Houston, TX

Bryan T. Forman
First Financial Investment Securities, Inc., Austin, TX

Richard L. Sandow
Southlake Capital, L.L.C., Southlake, TX

District Nominating Committee Members

Jane Bates
The Variable Annuity Marketing Co., Houston, TX

William D. Connally
Greenman Parker Connally Greenman, Inc.
Ft. Worth, TX

Robert G. Gunn III
Gunn and Company, Inc., San Antonio, TX

Paul L. Larkin
Vista Securities, Inc., Dallas, TX

William B. Madden
Madden Securities Corporation, Houston, TX
DISTRIBUTION

District Committee Members

To Serve Until January 2001

Robert M. Balentine
Balentine & Company, Atlanta, GA

James J. Buddle
Capital Brokerage Corporation, Richmond, VA

M. Anthony Greene
Raymond James Financial Services, Inc., Atlanta, GA

J. Lee Keiger, III
Davenport & Company, LLC, Richmond, VA

Raymond W. Snow
Deutsch Banc Alex. Brown, Palm Beach, FL

To Serve Until January 2002

James W. Hamilton, Jr.
Prudential Securities Incorporated, 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.
J. W. Genesis Securities, Inc., Boca Raton, FL

John W. Waechter
William R. Hough & Co., St. Petersburg, FL

District Nominating Committee Members

Robert J. Brietz
Marion Bass Securities Corp., Charlotte, NC

Franklin C. Golden
James M. Myers & Co., Charlotte, NC

Stuart J. Knobel
Edgar M. Norris & Co., Inc., Anderson, SC

David G. Pittinos
Dean Witter Reynolds, Inc., Tallahassee, FL

R. Charles Shufeldt
SunTrust Banks, Atlanta, GA
DISTRICT 8

District Committee Members

To Serve Until January 2001

William C. Alsover
Centennial Securities Company, Inc.
Grand Rapids, MI

Wallen L. Crane
Salomon Smith Barney, Inc., Farmington Hills, MI

Alan H. Newman
J.J.B. Hilliard, W.L. Lyons, Inc., Evansville, IN

Bruce J. Young
Mesirov Financial, Inc., Chicago, IL

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, LLC, Chicago, IL

To Serve Until January 2003

Carol Podesta Foley
Podesta & Company, Chicago, IL

Christine E. Monical
Conseco Financial Services, Inc.
Conseco Equity Sales, Inc., Carmel, IN

Renee M. Rombaut
Sage, Rutty & Co., Inc., Rochester, NY

District Nominating Committee Members

Leonard L. Anderson
Anderson & Company, Inc., Grand Haven, MI

Robert T. Clutterbuck
McDonald Investments Inc., Cleveland, OH

Paul E. Murin
David A. Noyes & Company, Chicago, IL

William H. Richardson
Trubee, Collins & Co., Inc., Buffalo, NY

G. Donald Steel
Planned Investment Co., Inc., Indianapolis, IN
District Committee Members

To Serve Until January 2001

Victor M. Frye
Calvert Distributors, Inc., Bethesda, MD

Phillip C. Graham
Legg Mason Wood Walker, Incorporated
Philadelphia, PA

Jerome J. Murphy
Janney Montgomery Scott, Inc., Philadelphia, PA

To Serve Until January 2002

A. Louis Denton
Philadelphia Corporation for Investment Services
Philadelphia, PA

Thomas W. Neumann
Sherwood Securities Corp., Jersey City, NJ

Joseph S. Rizzello
Vanguard Marketing Corporation, Malvern, PA

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

District Nominating Committee Members

Mark W. Cresap
Cresap, Inc., Radnor, PA

Allen S. Jacobson
Gibraltar Securities Co., Florham Park, NJ

James J. Malespina
Herzog, Heine, Geduld, Inc., Jersey City, NJ

William F. Rienhoff IV
BT Alex. Brown Incorporated, Baltimore, MD

Robert A. Woeber
Arthurs, Lestrange & Company Incorporated
Pittsburgh, PA
District Committee Members

To Serve Until January 2001

Herbert Ackerman
Neuberger & Berman, LLC, New York, NY

Arthur S. Ainsberg
Brahman Securities Inc., New York, NY

William P. Behrens
Ernst & Co., New York, NY

Laurence H. Bertan
Sanford C. Bernstein & Co. Inc.
New York, NY

Mark D. Madoff
Bernard L. Madoff Investment Securities
New York, NY

Stuart L. Sindell
Datek On-Line Brokerage Services Corp., Edison, NJ

To Serve Until January 2002

John Iachello
ING Baring Furman Selz, New York, NY

Philip V. Oppenheimer
Oppenheimer & Close Inc., New York, NY

Gary Salamone
Schroder & Co. Inc., New York, NY

Eugene A. Schlanger
Nomura Securities International Inc., New York, NY

Lawrence F. Sherman
MONY Securities Corporation, 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. Strombolline
Barclays Capital Inc., New York, NY

District Nominating Committee Members

Ralph J. Costanza
Salomon Smith Barney Inc., New York, NY

Joan S. Green
BT Brokerage Corporation, New York, NY

Vicki Z. Holleman
Loeb Partners Corporation, New York, NY

Norman H. Pessin
Neuberger & Berman, New York, NY

Stuart J. Voisin
Stuart Coleman & Co. Inc., New York, NY
District Committee Members

**To Serve Until January 2001**

**Michael J. Dell’Olio**  
Investment Management and Research, Inc.  
South Portland, ME

**Frank V. Knox, Jr.**  
Fidelity Distributors Corporation, Boston, MA

**Laurie Lennox**  
SunLife of Canada (U.S.) Distributors, Inc., Boston, MA

**Kenneth Unger**  
Boston Capital Services, Inc., Boston, MA

**To Serve Until January 2002**

**Stephen O. Buff**  
BancBoston Robertson Stephens, Boston, MA

**James P. Rybeck**  
The RYBECK  
Division of Fechter, Detwiler & Co., Inc., Meriden, CT

**Dennis R. Surprenant**  
Cantella & Co., Inc., Boston, MA

**To Serve Until January 2003**

**Elena Dasaro**  
H.C. Wainwright & Co., Inc., Boston, MA

**John D. Lane**  
Westport Resources Investment Services, Inc.  
Westport, CT

**Deborah G. Ullman**  
American Skandia Marketing, Inc., Shelton, CT

**Peter T. Wheeler**  
Commonwealth Equity Services, Waltham, MA

District Nominating Committee Members

**Harry H. Branning**  
Advest, Inc., Hartford, CT

**Stephanie Brown**  
Linsco/Private Ledger Corp., Boston, MA

**Francis W. Murphy**  
Moors & Cabot, Boston, MA

**Wilson G. Saville**  
Barrett & Company, Providence, RI

**Edward L. Sherr**  
Carl P. Sherr & Company, Worcester, MA