

**INFORMATIONAL**

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## District Elections

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### 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 2001, 2002, and 2003 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 3, 2000**.

The completed form 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 1, 2000.

Members are reminded to report Executive Representative information and address changes for the firm's main and branch offices. 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 this information, firms should access their National Association of Securities Dealers, Inc. (NASD<sup>®</sup>) Member Firm Contact Questionnaire (NMFCQ) located on the NASD Regulation<sup>SM</sup> Web Site ([www.nasdr.com](http://www.nasdr.com)) using the existing NMFCQ Executive Representative or Designated Assistant User ID and Password provided; or, if you prefer, you may contact CRD/PD Gateway at (301) 590-6500.

**Questions/Further Information**

Questions concerning this *Special Notice* may be directed to the District Director noted or to Joan Conley, Senior Vice President and Corporate Secretary, NASD, at (202) 728-8381 or via e-mail at: [joan.conley@nasd.com](mailto:joan.conley@nasd.com).

**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

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**District 1 Committee**

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**Members to be elected to terms expiring January 2004: 3**

**Chair:** Janet W. Campbell

**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, Inc., San Francisco, CA |

***To Serve Until January 2002***

|                 |                                             |
|-----------------|---------------------------------------------|
| John H. Chung   | First Security 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 | E*Trade Securities, Inc., Menlo Park, CA      |

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**District 1 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** John E. Schmidt

**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 Reynolds, San Jose, CA |

If you are interested in nominating yourself or a colleague to the District 1 Committee or the District 1 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 2**

Lani M. Sen Woltmann, District Director  
300 South Grand Avenue, Suite 1600  
Los Angeles, CA 90071  
(213) 627-2122

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**District 2 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** James B. Guillou, Sr.

**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 |

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**District 2 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Robert L. Winston

**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             |

If you are interested in nominating yourself or a colleague to the District 2 Committee or the District 2 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**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 Street, Suite 1616  
Seattle, WA 98101-2327  
(206) 624-0790

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**District 3 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** Thomas R. Hislop

**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 Lee 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          |

***To Serve Until January 2003***

|                    |                                                                    |
|--------------------|--------------------------------------------------------------------|
| J. Pamela Dawson   | WM Financial Services, Inc., Seattle, WA                           |
| Steven M. Fishbein | American Fronteer Financial Corporation, Denver, CO                |
| John K. Hinfey     | United Planners' Financial Services Of America, LP, Scottsdale, AZ |
| Bruce Kramer       | Prudential Securities Incorporated, Seattle, WA                    |

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**District 3 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Anthony Petrelli

**Committee Members**

|                    |                                                       |
|--------------------|-------------------------------------------------------|
| J. Wendell Garrett | J. W. Garrett and Company, Phoenix, AZ                |
| James Kerr         | Ragen Mackenzie Incorporated, Seattle, WA             |
| Stephen Larson     | Richards, Merrill & Peterson, Inc., Spokane, WA       |
| Anthony Petrelli   | Neidiger, Tucker, Bruner, Inc., Denver, CO            |
| Douglas Strand     | Strand, Atkinson, Williams & York, Inc., Portland, OR |

If you are interested in nominating yourself or a colleague to the District 3 Committee or the District 3 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**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

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**District 4 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** Brent M. Weisenborn

**Committee Members**

***To Serve Until January 2001***

|                       |                                                             |
|-----------------------|-------------------------------------------------------------|
| Antonio J. Cecin      | U.S. Bancorp Piper Jaffray, Inc., Minneapolis, MN           |
| Cheryl Cook-Schneider | Edward Jones, St. Louis, MO                                 |
| Brent M. Weisenborn   | Security Investment Company of Kansas City, Kansas City, MO |
| Vacancy               |                                                             |

***To Serve Until January 2002***

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

***To Serve Until January 2003***

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

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**District 4 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Todd W. Miller

**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       |

If you are interested in nominating yourself or a colleague to the District 4 Committee or the District 4 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**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

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**District 5 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** James S. Jones

**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             | First Union 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., Nashville, TN                                |

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**District 5 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Jerry Roberts

**Committee Members**

|                      |                                                |
|----------------------|------------------------------------------------|
| J. French Hill       | Delta Trust Investments, Inc., Little Rock, AR |
| David S. Patrick     | First Union Securities, Inc., Montgomery, AL   |
| William T. Patterson | Morgan Keegan & Company, Inc., Jackson, MS     |
| Jerry Roberts        | Sterne, Agee & Leach, Inc., Little Rock, AR    |
| Miguel Uribe         | Oro Financial, Inc., New Orleans, LA           |

If you are interested in nominating yourself or a colleague to the District 5 Committee or the District 5 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 6**

Bernerd Young, District Director  
12801 N. Central Expressway, Suite 1050  
Dallas, TX 75243  
(972) 701-8554

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**District 6 Committee**

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**Members to be elected to terms expiring January 2004: 3**

**Chair:** Daniel C. Dooley

**Committee Members**

***To Serve Until January 2001***

|                  |                                                 |
|------------------|-------------------------------------------------|
| Daniel C. Dooley | Maplewood Investment Advisors, Inc., 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***

|                       |                                               |
|-----------------------|-----------------------------------------------|
| Frederick W. McGinnis | PaineWebber Inc., Houston, TX                 |
| Sue H. Peden          | SWS Financial Services, Inc., Dallas, TX      |
| Joseph H. Storthz     | Transamerica Financial Resources, Houston, TX |

***To Serve Until January 2003***

|                   |                                                         |
|-------------------|---------------------------------------------------------|
| G. Clyde Buck     | Sanders Morris Harris, Inc., Houston, TX                |
| Bryan T. Forman   | First Financial Investment Securities, Inc., Austin, TX |
| Richard L. Sandow | Southlake Capital, L.L.C., Southlake, TX                |

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**District 6 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** William B. Madden

**Committee Members**

|                     |                                                        |
|---------------------|--------------------------------------------------------|
| Jane E. 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, Dallas, TX              |

If you are interested in nominating yourself or a colleague to the District 6 Committee or the District 6 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 7**

Alan M. Wolper, District Director  
One Securities Centre, Suite 500  
3490 Piedmont Road, NE  
Atlanta, GA 30305  
(404) 239-6100

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**District 7 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** M. Anthony Greene

**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. | 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. | J. W. Genesis Securities, Inc., Boca Raton, FL |
| John W. Waechter          | William R. Hough & Co., St. Petersburg, FL     |

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**District 7 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Franklin C. Golden

**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                 |

If you are interested in nominating yourself or a colleague to the District 7 Committee or the District 7 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 8**

Carlotta A. Romano, District Director  
10 South LaSalle, 20th Floor  
Chicago, IL 60603-1002  
(312) 899-4400

William H. Jackson, Jr., District Director  
Renaissance on Playhouse Square  
1350 Euclid Avenue, Suite 650  
Cleveland, OH 44115  
(216) 694-4545

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**District 8 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** Alan H. Newman

**Committee Members**

***To Serve Until January 2001***

|                    |                                                       |
|--------------------|-------------------------------------------------------|
| William C. Alsover | Centennial Securities Company, Inc., Grand Rapids, MI |
| Wallen L. Crane    | Salomon Smith Barney, Inc., Ann Arbor, MI             |
| Alan H. Newman     | J.J.B. Hilliard, W.L. Lyons, Inc., Evansville, IN     |
| Bruce J. Young     | Mesirow 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         |
| Renee M. Rombaut    | Sage, Rutty & Co., Inc., Rochester, NY |

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**District 8 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Paul E. Murin

**Committee Members**

|                       |                                                           |
|-----------------------|-----------------------------------------------------------|
| Leonard L. Anderson   | Stifel, Nicolaus & Company, Incorporated, 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            |

If you are interested in nominating yourself or a colleague to the District 8 Committee or the District 8 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 9**

John P. Nocella, District Director  
11 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 07095  
(732) 596-2000

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**District 9 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** A. Louis Denton

**Committee Members**

***To Serve Until January 2001***

|                  |                                                |
|------------------|------------------------------------------------|
| Victor M. Frye   | Calvert Distributors, Inc., Bethesda, MD       |
| Jerome J. Murphy | Janney Montgomery Scott Inc., Philadelphia, PA |
| Vacancy          |                                                |
| Vacancy          |                                                |

***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, Valley Forge, 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                       |

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**District 9 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Mark W. Cresap

**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 | Donaldson, Lufkin & Jenrette Securities Corporation, Baltimore, MD |
| Robert A. Woeber       | Arthurs, Lestrangle & Company, Incorporated, Pittsburgh, PA        |

If you are interested in nominating yourself or a colleague to the District 9 Committee or the District 9 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 10**

David A. Leibowitz, District Director  
NASD Financial Center  
33 Whitehall Street  
New York, NY 10004  
(212) 858-4000

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**District 10 Committee**

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**Members to be elected to terms expiring January 2004: 5**

**Chair:** Mark D. Madoff

**Committee Members**

***To Serve Until January 2001***

|                    |                                                       |
|--------------------|-------------------------------------------------------|
| Arthur S. Ainsberg | Brahman Securities Inc., New York, NY                 |
| William P. Behrens | Investec 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., New York, NY  |

***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 |
| 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      |

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**District 10 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Joan S. Green

**Committee Members**

|                     |                                                      |
|---------------------|------------------------------------------------------|
| Ralph J. Costanza   | Salomon Smith Barney Inc., New York, NY              |
| Frank F. DiGregorio | Credit Suisse First Boston Corporation, New York, NY |
| Joan S. Green       | BT Brokerage Corporation, New York, NY               |
| Vicki Z. Holleman   | Loeb Partners Corporation, New York, NY              |
| Harold Ognelodh     | U.S. Bancorp Investment Inc., New York, NY           |

If you are interested in nominating yourself or a colleague to the District 10 Committee or the District 10 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**District Committee And District Nominating Committee Members**

**District 11**

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

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**District 11 Committee**

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**Members to be elected to terms expiring January 2004: 4**

**Chair:** Frank V. Knox, Jr.

**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      | Fleetboston Robertson Stephens Inc., Boston, MA |
| 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 Financial Network, Waltham, MA                |

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**District 11 Nominating Committee**

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**Members to be elected to terms expiring January 2002: 5**

**Chair:** Edward L. Sherr

**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  |

If you are interested in nominating yourself or a colleague to the District 11 Committee or the District 11 Nominating Committee, please complete the candidate profile sheet (Attachment C) and return it to the District Nominating Committee Chairman or the District Director at the above District Office address by July 3, 2000.

**Attachment B**

**2000 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<sup>SM</sup> Web Site ([www.nasdr.com](http://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 fair representation of the membership within the District on the District Committee. One small firm member of each District Committee will serve a one-year term on the Small Firm Advisory Board.
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.
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.

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## Special NASD Notice to Members 00-34

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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 on the previous page, 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.

*Special Notices to Members* are published on an accelerated basis and distributed independently of monthly *Notices to Members* newsletters. Numerical sequencing may thus appear to contain gaps during a given monthly publication cycle. Such temporary gaps reflect a priority in the production process and will disappear at the conclusion of monthly electronic posting and print distribution.

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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).

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Candidate Profile Sheet

### Candidate Information

Name: \_\_\_\_\_ CRD#: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

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

Phone: (\_\_\_\_) \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_\_ Email: \_\_\_\_\_

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

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City/state/zip: \_\_\_\_\_ Dates employed: \_\_\_\_\_

Title: \_\_\_\_\_ No. of Registered People at Firm: \_\_\_\_\_

Primary areas of responsibility: \_\_\_\_\_

\_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City/state/zip: \_\_\_\_\_ Dates employed: \_\_\_\_\_

Title: \_\_\_\_\_ No. of Registered People at Firm: \_\_\_\_\_

Primary areas of responsibility: \_\_\_\_\_

\_\_\_\_\_

#### General Areas of Expertise *(please check all that apply)*

- |                                                           |                                                |
|-----------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Compliance/Legal                 | <input type="checkbox"/> Corporate Finance     |
| <input type="checkbox"/> Financial & Regulatory Reporting | <input type="checkbox"/> Institutional Sales   |
| <input type="checkbox"/> Investment Advisory              | <input type="checkbox"/> Operations            |
| <input type="checkbox"/> Retail Sales                     | <input type="checkbox"/> Trading/Market Making |
| <input type="checkbox"/> Other: _____                     |                                                |

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

- |                                             |                                                        |
|---------------------------------------------|--------------------------------------------------------|
| <input type="checkbox"/> Corporate Bonds    | <input type="checkbox"/> Direct Participation Programs |
| <input type="checkbox"/> Equity Securities  | <input type="checkbox"/> Government Securities         |
| <input type="checkbox"/> Investment Company | <input type="checkbox"/> Municipal Securities          |
| <input type="checkbox"/> Options            | <input type="checkbox"/> Variable Contracts Securities |
| <input type="checkbox"/> 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: \_\_\_\_\_