

Special NASD Notice to Members 99-62

Nominees For District Committees And District Nominating Committees

Suggested Routing

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National Association of Securities Dealers, Inc. Notice Of Nominees

The purpose of this *Special Notice to Members* is to advise members of the nominees to fill vacancies on the District Committees and the District Nominating Committees except for those in District 10 (New York). Scheduling commitments precluded the ability of all District 10 Nominating Committee members to convene for the purpose of finalizing its slate of candidates. It is anticipated that the District 10 Nominating Committee will meet shortly for that purpose and the results will be communicated under separate cover. Therefore, in accordance with the National Association of Securities Dealers, Inc. (NASD®) By-Laws, this *Special Notice to Members* is being issued to announce the candidates from Districts 1, 2, 3, 4, 5, 6, 7, 8, 9, and 11. The individuals identified in this *Special Notice to Members* have been nominated for three-year terms on the District Committees and for one-year terms on the District Nominating Committees which begin in January 2000.

We appreciate the interest shown by many of you in participating in the District Committees. We look forward to your participation in the matters of the Districts during the coming year. Following is a general description of the procedures pertaining to this stage of the election.

- 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 this *Special Notice to Members*. The District Director shall make a written record of the time and date of such notification.

If an additional candidate does not come forward after the 14 days, the election of the committee is complete.

If an additional candidate does come forward within the 14 calendar days, the Secretary of NASD Regulation® will provide a list of all NASD members eligible to vote in the District and their Executive Representatives to the additional candidate immediately following receipt of the additional candidate's notice by the District Director.

- 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 list of members eligible to vote, unless the Secretary of NASD Regulation grants additional time for good cause shown. Only an Executive Representative may sign a petition on behalf of an NASD member.
- 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.

Questions concerning this *Special Notice* may be directed to:

Joan C. Conley
Corporate Secretary
National Association of Securities Dealers, Inc.
1735 K Street, N.W.
Washington, D.C. 20006-1500
(202) 728-8381

National Association of Securities Dealers, Inc.
District Committee Nominees And District Nominating Committee Nominees

The following persons have been nominated to serve on District Committees and District Nominating Committees.

District 1

Elisabeth P. Owens, District Director
John J. Sanders, Jr., District Nominating
Committee Chair
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

District Committee Nominees

Sally G. Aelion
Emmett A. Larkin Company, 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 Nominees

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 2

Lani M. Sen Woltmann, District Director
George H. Casey, District Nominating Committee Chair
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

District Committee Nominees

Kellen M. Flanigan
Dabney Flanigan, LLC
Los Angeles, CA

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

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

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

District Nominating Committee Nominees

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

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

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

Kaye M. Woltman
Girard Securities
San Diego, CA

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

District 3

Frank J. Birgfeld, District Director
Richard Royse, District Nominating Committee Chair
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 Street, Suite 1616
Seattle, WA 98101-2327
(206) 624-0790

Alaska, Idaho, Montana, Oregon, and Washington

District Committee Nominees

Bruce Kramer
Prudential Securities, Inc.
Seattle, WA

J. Pamela Dawson
WM Financial Services, Inc.
Seattle, WA

Steven Fishbein
American Fronteer Financial Corporation
Denver, CO

John Hinfey
United Planners' Financial Services of America,
a Limited Partner
Scottsdale, AZ

District Nominating Committee Nominees

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

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

Douglas Strand
Strand, Atkinson, Williams & York, Inc.
Portland, OR

District 4

Jack Rosenfield, District Director
Edward J. Berkson, District Nominating Committee Chair
120 W. 12th Street, Suite 900
Kansas City, MO 64105
(816) 421-5700

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

District Committee Nominees

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

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

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

Jeffrey A. Schuh
Offerman & Company
Minneapolis, MN

District Nominating Committee Nominees

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

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

Wayne H. Peterson
Washington Square Securities, Inc.
Minneapolis, MN

District 5

Warren A. Butler, Jr., District Director
James C. Bradford, Jr., District Nominating
Committee Chair
1100 Poydras Street
Energy Centre, Suite 850
New Orleans, LA 70163-0802
(504) 522-6527

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

District Committee Nominees

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

District Nominating Committee Nominees

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

J. French Hill
J.F. Hill & Company, Inc.
Little Rock, AR

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

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

Miguel Uria
Oro Financial, Inc.
New Orleans, LA

District 6

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

Texas

District Committee Nominees

G. Clyde Buck
Harris Webb & Garrison, Inc.
Houston, TX

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

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

District Nominating Committee Nominees

William B. Madden
Madden Securities Corp.
Dallas, TX

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

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

Jane Bates
The Variable Annuity Marketing Company
Houston, TX

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

District 7

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

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

District Committee Nominees

Collie W. Lehn
A.G. Edwards & Sons, Inc.
Laurens, SC

Michael D. Hearn, Esq.
Wachovia Securities, Inc.
Charlotte, NC

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

Charles E. Scarlett, Esq.
J. W. Genesis Securities, Inc.
Boca Raton, FL

District Nominating Committee Nominees

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

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

R. Charles Shufeldt
SunTrust Banks
Atlanta, GA

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

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

District 8

Carlotta A. Romano, District Director
Earl Clifford Oberlin, III, District Nominating
Committee Chair
10 South LaSalle, 20th Floor
Chicago, IL 60603-1002
(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) 694-4545

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

District Committee Nominees

Carol Podesta Foley
Podesta & Company
Chicago, IL

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

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

District Nominating Committee Nominees

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

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

Paul F. 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 9

John P. Nocella, District Director
John J. Gray, District Nominating Committee Chair
11 Penn Center
1835 Market Street, Suite 1900
Philadelphia, PA 19103
(215) 665-1180

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

Gary K. Liebowitz, District Director
581 Main Street, 7th floor
Woodbridge, NJ 07095
(732) 596-2000

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

District Committee Nominees

James D. Lamke
Spear, Leeds & Kellogg
Jersey City, NJ

Lance A. Reihl
1717 Capital Management Co.
Wilmington, DE

John P. Meegan
Parker/Hunter Incorporated
Pittsburgh, PA

Lenda P. Washington
GRW Capital Corporation
Washington, DC

District Nominating Committee Nominees

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

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

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

Mark W. Cresap
Cresap, Inc.
Radnor, PA

Robert A. Woeber
Arthurs, Lestrangle & Company Incorporated
Pittsburgh, PA

District 11

Willis H. Riccio, District Director
Mary Toumpas, District Nominating Committee Chair
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; and the five boroughs of New York City)

District Committee Nominees

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 Nominees

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

Stephanie Brown
Linsco/Private Ledger Corp.
Boston, MA

Harry H. Branning
Advest, Inc.
Hartford, CT

Francis W. Murphy
Moors & Cabot
Boston, MA

Wilson G. Saville
Barrett & Company
Providence, RI

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