

Special NASD Notice to Members 99-74

Nominees For District 10 District Committee And District Nominating Committee

Suggested Routing

- ☒ Senior Management
- ☐ Advertising
- ☐ Continuing Education
- ☐ Corporate Finance
- ☒ Executive Representatives
- ☐ Government Securities
- ☐ Institutional
- ☐ Insurance
- ☐ Internal Audit
- ☒ Legal & Compliance
- ☐ Municipal
- ☐ Mutual Fund
- ☒ Operations
- ☐ Options
- ☐ Registered Representatives
- ☒ Registration
- ☐ Research
- ☐ Syndicate
- ☐ Systems
- ☐ Trading
- ☐ Training
- ☐ Variable Contracts

National Association of Securities Dealers, Inc. Notice Of Nominees

In accordance with the National Association of Securities Dealers, Inc. (NASD[®]) By-Laws, the purpose of this *Special Notice to Members* is to advise members of the nominees to fill vacancies on the District Committee and the District Nominating Committee in District 10 (New York). The individuals identified in this *Special Notice to Members* have been nominated for three-year terms on the District Committee and for one-year terms on the District Nominating Committee which begin in January 2000. (Nominees for Districts 1, 2, 3, 4, 5, 6, 7, 8, 9, and 11 were announced in *Special Notice to Members* 99-62 that was mailed to members on July 15, 1999.)

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 10 District Committee Nominees And District Nominating Committee Nominees

The following persons have been nominated to serve on District 10 District Committee and District Nominating Committee.

District 10

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

The five boroughs of New York City

District Committee Nominees

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

District Nominating Committee Nominees

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

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.

© 1999, National Association of Securities Dealers, Inc. (NASD). All rights reserved.

NASD is a registered service mark of the National Association of Securities Dealers, Inc. Central Registration Depository (CRD) is a service mark of the NASD and the North American Securities Administrators Association, Inc. (NASAA). NASD Regulation is a registered service mark of NASD Regulation, Inc.

NASD Notices to Members is published monthly by NASD Corporate Communications, Kim Dineen, Editor, NASD Editorial Services Department, 1735 K Street, NW, Washington, DC 20006-1500, (202) 728-8370. No portion of this publication may be copied, photocopied, or duplicated in any form or by any means, except as described below, without prior written consent of the NASD. Members of the NASD are authorized to photocopy or otherwise duplicate any part of this publication without charge only for internal use by the member and its associated persons. Nonmembers of the NASD may obtain permission to photocopy for internal use through the Copyright Clearance Center (CCC) for a \$3-per-page fee to be paid directly to CCC, 222 Rosewood Drive, Danvers, MA 01923.

NOTE: As of January 1999, there has been a change in *Notices to Members* distribution: Members no longer receive complimentary copies of *Notices to Members*. Each Executive Representative is entitled to one annual subscription at cost (\$15 per year). Additional annual subscriptions are available for \$225; single issues cost \$25. Send a check or money order (payable to the National Association of Securities Dealers, Inc.) to NASD MediaSource, P.O. Box 9403, Gaithersburg, MD 20898-9403, or to phone in an order using American Express, MasterCard, or Visa charge, call (301) 590-6142, Monday to Friday, 9 a.m. to 5 p.m., Eastern Time. Back issues may be ordered by calling MediaSource at (301) 590-6142.

NASD Notices to Members (December 1996 to current) are also available on the Internet at www.nasdr.com.