

Election Notice

District Elections

Upcoming District Committee and District Nominating Committee Elections

Executive Summary

The purpose of this *Election Notice* is to notify member firms of the upcoming nomination and election process to fill forthcoming vacancies on FINRA District Committees and District Nominating Committees.

The current District Committee and District Nominating Committee members are included in Attachment A. Information on District Election procedures is included in Attachment B. A candidate profile form is included as Attachment C.

Note: This *Notice* was distributed electronically only to the Executive Representative of each FINRA member firm and is posted on FINRA's Web site at www.finra.org/Notices/Election/011808. Executive Representatives should circulate this Notice to their firm's branch managers.

Questions/Further Information

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

- The appropriate FINRA District Director (*see* Attachment A);
- Marcia Asquith, Vice President and Deputy Corporate Secretary, FINRA, at (202) 728-8831; or
- CorporateSecretary@finra.org.

January 18, 2008

Suggested Routing

- Branch Managers
- Executive Representatives
- Senior Management

Background

The FINRA District Committees serve an important role in the self-regulation process by, among other things:

- alerting staff to industry trends that could be a potential regulatory concern;
- consulting with FINRA staff on proposed policies and rule changes brought to a District Committee for its views;
- serving on disciplinary panels in accordance with FINRA Rules; and
- promoting FINRA's mission and stated positions.

Committee members must have the experience, ability and commitment to fulfill these responsibilities, including:

- understanding the issues facing the securities industry and possessing the ability to apply knowledge and expertise to these issues to develop solutions;
- fostering member firm interest and participation in FINRA;
- educating member firms in their District on the work of FINRA;
- attending District Committee meetings regularly and participating professionally, effectively and in a collegial manner; and
- remaining objective and unbiased in District Committee matters.

Committee members must also adhere to certain prohibitions and restrictions. These include:

- refraining from serving as an expert witness in FINRA disciplinary hearings or arbitrations;
- being sensitive to conflicts, and refraining from participating in a particular matter when a conflict exists;
- refraining from using membership on the District Committee for commercial purposes or otherwise suggesting special access to FINRA; and
- ensuring the confidentiality of sensitive, non-public or proprietary information.

Vacancies and Terms

In this election, the District Committees for Districts 1, 5, 6, 8 and 9 each have three positions to fill; the District Committees for Districts 2, 3, 4, 7 each have four positions to fill; and the District Committees for Districts 10 and 11 each have five positions to fill.¹ The term of office for District Committee members is three years, unless they are selected to complete an existing term. Additionally, each District Nominating Committee will have five vacancies to fill for one-year terms.

Due to the consolidation of NASD and the member regulation functions of the New York Stock Exchange in 2007, the District Committee and District Nominating Committee election calendar was delayed by five months. As a result of this delay, the terms for the current District Committee and District Nominating Committee members, whose terms initially were scheduled to expire in January 2008, January 2009 or January 2010, have been extended by five months, thereby respectively expiring May 31, 2008; May 31, 2009; or May 31, 2010. Beginning with the current election and going forward, the three-year terms for District Committee members and one-year terms for District Nominating Committee members will begin to rotate on a June 1 to May 31 annual cycle.

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 eleven (11) District Committees and District Nominating Committees.

Individuals who are interested in serving on the District Committee or the District Nominating Committee within their district must complete a candidate profile form (Attachment C) and submit it by courier service, mail, facsimile or in person to the appropriate District Director. Completed candidate profile forms must be received by the District Director on or before **February 4, 2008**. Candidate profile forms submitted after this date will not be considered. FINRA encourages current and former committee members to assist FINRA by soliciting candidates for both committees.

Article VIII, Sections 8.2 and 8.9 of the By-Laws of FINRA Regulation establish formal eligibility requirements for members of the District Committees and District Nominating Committees respectively. They provide that such members:

- 1) be registered with a FINRA member firm eligible to vote in the district for District Committee elections; and
- 2) work primarily from such FINRA member firm's principal office or a branch office that is located within the district where the member serves on a District Committee or District Nominating Committee.

Completed candidate profile forms that are received by February 4, 2008, will be provided to all appropriate District Nominating Committee members for review. It is anticipated that on or before February 20, 2008, each District Director, acting on behalf of the District Nominating Committee, will notify FINRA's Corporate Secretary of each candidate nominated by the District Nominating Committee and the committee to which the candidate is nominated.

Firm Contact Information

Firms are reminded of the importance to accurately maintain their Executive Representative's name and email address information, as well as their firm's main postal address, in FINRA's records. This will ensure that mailings, such as election information, will be properly directed. Failure to keep this information accurate may jeopardize the member firm's ability to participate in District elections as well as other votes.

Pursuant to NASD Rule 1160, firms must update their contact information promptly, but in any event not later than 30 days following any change in such information, as well as review and, if necessary, update the information within 17 business days after the end of each calendar year. Additionally, firms must comply with any FINRA request for such information promptly, but in an event not later than 15 days following the request, or such longer period that may be agreed to by FINRA staff.²

To update an Executive Representative's name and email address, firms should access the FINRA Contact System, located on FINRA's Web site at www.finra.org/fcs. 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 our Call Center at (301) 590-6500.

Endnotes

- 1 In some cases, a District Committee may have positions to fill if a member of the District Committee has resigned since the last election, as indicated in Attachment A.
- 2 See NASD Rule 1160 and *FINRA Regulatory Notice 07-42* (September 2007).

Attachment A – District Committee and District Nominating Committee Lists

Expiring and vacant positions are highlighted.

District 1

Christian A. Zrull, District Director

One Montgomery Street, Suite 2100, San Francisco, CA 94104

(415) 217-1100 (415) 956-1931 fax

District Committee for District 1—Chair: Bruce Nollenberger

- Committee members to be elected to terms expiring May 31, 2011: 3

Committee Members to Serve Until May 31, 2008

Howard Bernstein	Pacific Growth Equities, LLC	San Francisco, CA
Bruce Nollenberger	Nollenberger Capital Partners, Inc.	San Francisco, CA
Daniel W. Roberts	Roberts & Ryan Investments Inc.	San Francisco, CA

Committee Members to Serve Until May 31, 2009

Christopher D. Charles	Wulff, Hansen & Co.	San Francisco, CA
Kevin T. Kitchin	Wachovia Securities, LLC	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	Santa Rosa, CA

Committee Members to Serve Until May 31, 2010

Robert Angle	White Pacific Securities, Inc.	San Francisco, CA
Leonard Berry	Backstrom McCarley Berry & Co. LLC	San Francisco, CA
James H. Williams	Financial Telesis	San Rafael, CA

District Nominating Committee for District 1—Chair: Francis X. Roche II

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

William A. Evans	Stone & Youngberg, LLC	San Francisco, CA
Gerard P. Gloisten	GBS Financial Corporation	Santa Rosa, CA
Warren E. Gordon	Charles Schwab & Co., Inc.	San Francisco, CA
Francis X. Roche II	RBC Dain Rauscher	San Francisco, CA
William Svoboda	Deutsche Bank Alex. Brown	San Francisco, CA

District 2

David A. Greene, District Director

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071-3126

(213) 229-2300 (213) 617-3299 fax

District Committee for District 2—Chair: Kenneth R. Hyman

- ▶ Committee members to be elected to terms expiring May 31, 2011: 3
- ▶ Committee members to be elected to terms expiring May 31, 2009: 1

Committee Members to Serve Until May 31, 2008

Kenneth R. Hyman	Partnervest Securities, Inc.	Santa Barbara, CA
Bryan R. Plank	Merrill Lynch	San Diego, CA
Valorie Seyfert	CUSO Financial Services, L.P.	San Diego, CA

Committee Members to Serve Until May 31, 2009

Steven K. Klein	Farmers Financial Solutions, LLC	Simi Valley, CA
Gary A. Martino	brokerXpress, LLC	Thousand Oaks, CA
[VACANT POSITION]		

Committee Members to Serve Until May 31, 2010

Craig M. Biddick	Mission Securities Corporation	San Diego, CA
Mark Stewart	Mark Stewart Securities, Inc.	Irvine, CA
Craig R. Watanabe	Western International Securities	Pasadena, CA

District Nominating Committee for District 2—Chair: Don Dalis

- ▶ Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

M. LaRae Bakerink	WBB Securities, LLC	San Diego, CA
Stephen B. Benton	Financial Network Investment Corporation	El Segundo, CA
Don Dalis	UBS Financial Services, Inc	Newport Beach, CA
James M. Dillahunty	Fixed Income Securities, LP	San Diego, CA
Neal E. Nakagiri	NPB Financial Group, LLC	Burbank, CA

District 3

Joseph M. McCarthy, District Director

370 17th Street, Suite 2900, Denver, CO 80202-5629

(303) 446-3100 (303) 620-9450 fax

Michael E. Lewis, District Director

601 Union Street, Suite 1616, Seattle, WA 98101-2327

(206) 624-0790 (206) 623-2518 fax

District Committee for District 3—Chair: Craig A. Jackson

- Committee members to be elected to terms expiring May 31, 2011: 3
- Committee members to be elected to terms expiring May 31, 2009: 1

Committee Members to Serve Until May 31, 2008

Craig A. Jackson	Financial Network Investment Corp.	Roseburg, OR
Harry L. Striplin	Paulson Investment Company, Inc.	Portland, OR
[VACANT POSITION]		

Committee Members to Serve Until May 31, 2009

David J. Director	McAdams Wright Ragen, Inc.	Seattle, WA
Daniel Lind	Wells Fargo Investments	Tucson, AZ
[VACANT POSITION]		

Committee Members to Serve Until May 31, 2010

Chester J. Hebert	CIM Securities LLC	Greenwood Village, CO
James W. Millegan	JW Millegan, Inc.	Lake Oswego, OR
Douglas W. Schriener	Harrison Douglas, Inc.	Aurora, CO

District Nominating Committee for District 3—Chair: Bridget M. Gaughan

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

Bridget M. Gaughan	AIG Financial Advisors, Inc.	Phoenix, AZ
John W. Goodwin	Goodwin Browning & Luna Securities, Inc.	Albuquerque, NM
Curtis J. Hammond	Morgan Stanley DW Inc.	Bellevue, WA
J. Keith Kessel	Milkie/Ferguson Investment Inc.	Broomfield, CO
Arlene M. Wilson	D.A. Davidson & Co.	Great Falls, MT

District 4

Thomas D. Clough, Associate Vice President and District Director

120 W. 12th Street, Suite 800, Kansas City, MO 64105

(816) 421-5700

(816) 421-5029 fax

District Committee for District 4—Chair: Vacant

- Committee members to be elected to terms expiring May 31, 2011: 3
- Committee members to be elected to terms expiring May 31, 2009: 1

Committee Members to Serve Until May 31, 2008

Allen J. Moore	SMITH HAYES Financial Services	Lincoln, NE
Kenneth M. Cherrier	Woodbury Financial Services, Inc.	Woodbury, MN
Minoo Spellerberg	Princor Financial Services Corporation	Des Moines, IA

Committee Members to Serve Until May 31, 2009

Steven F. McWhorter	Securities America, Inc.	Omaha, NE
Andrew C. Small	Scottrade, Inc.	St. Louis, MO
[VACANT POSITION]		

Committee Members to Serve Until May 31, 2010

Robert E. Hillard	Arlington Securities	St. Louis, MO
Richard D. Link	Edward Jones	St. Louis, MO
Daniel J. May	Financial Network Investment Corporation	Minneapolis, MN

District Nominating Committee for District 4—Chair: Joseph D. Fleming

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

Robert M. Chambers	Wachovia Securities, LLC	West Des Moines, IA
Joseph D. Fleming	RBC Rain Rauscher Inc.	Minneapolis, MN
Kevin P. Maas	PrimeVest Financial Services, Inc.	St. Cloud, MN
Mark T. Lasswell	Wells Fargo Brokerage Services, LLC	Minneapolis, MN
Stephen S. Soden	Country Club Financial Services, Inc.	Mission Woods, KS

District 5

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850 ,New Orleans, LA 70163-0802
(504) 522-6527 (504) 522-4077 fax

District Committee for District 5—Chair: Jefferson G. Parker

- Committee members to be elected to terms expiring May 31, 2011: 3

Committee Members to Serve Until May 31, 2008

Philip J. Dorsey	Dorsey & Company, Inc.	New Orleans, LA
Fred G. Eason	Delta Trust Investments, Inc.	Little Rock, AR
Harold L. Gladney	Vining Sparks IBG, L.P.	Memphis, TN

Committee Members to Serve Until May 31, 2009

Curtis F. Bradbury, Jr.	Stephens Inc.	Little Rock, AR
William A. Geary	Morgan Keegan & Company, Inc.	Jackson, MS
Jefferson G. Parker	Howard Weil Incorporated	New Orleans, LA

Committee Members to Serve Until May 31, 2010

Robert Keenan, Jr.	St. Bernard Financial Services, Inc.	Russellville, AR
Michael J. Mungenast	ProEquities, Inc.	Birmingham, AL
Gary K. Wunderlich, Jr.	Wunderlich Securities, Inc.	Memphis, TN

District Nominating Committee for District 5—Chair: Carolyn R. May

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

John J. Dardis	Next Financial Group, Inc.	Metairie, LA
Henry M. Fyfe, III	Duncan-Williams, Inc.	Memphis, TN
Charles C. Hollinger, Jr.	Johnson Rice & Company, LLC	New Orleans, LA
Carolyn R. May	Simmons First Investment Group, Inc.	Little Rock, AR
R. Patrick Shepherd	Avondale Partners, L.L.C.	Nashville, TN

District 6

Virginia F. M. Jans, Vice President and Regional Director

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

(972) 701-8554

(972) 716-7646 fax

District Committee for District 6—Chair: Michael A. Pagano

- Committee members to be elected to terms expiring May 31, 2011: 3

Committee Members to Serve Until May 31, 2008

Bryan T. Emerson	Starlight Investments, LLC	Houston, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX
Michael A. Pagano	1st Global Capital Corp.	Dallas, TX

Committee Members to Serve Until May 31, 2009

Alan K. Goldfarb	Oakbrook Financial Group, LLC	Dallas, TX
John Christopher Melton	Coastal Securities, L.P.	Houston, TX
Ralph E. Poppell	Stanford Group Company	Houston, TX

Committee Members to Serve Until May 31, 2010

Caroline B. Austin	Evolve Securities, Inc.	Dallas, TX
Kennard (Ken) R. George	VSR Financial Services, Inc.	Dripping Springs, TX
Fenner R. Weller, Jr.	Weller Anderson & Co., Ltd.	Houston, TX

District Nominating Committee for District 6—Chair: William D. Felder

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

Karen Banks	Frost Brokerage Services, Inc.	San Antonio, TX
Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
William D. Felder	Southwest Securities, Inc.	Dallas, TX
Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
John R. Muschalek	First Southwest Company	Dallas, TX

District 7

Daniel J. Stefek, District Director

One Securities Centre, Suite 500, 3490 Piedmont Road, NE, Atlanta, GA 30305
(404) 239-6100 (404) 237-9290 fax

Mitchell C. Atkins, District Director

Crystal Corporate Center, 2500 N. Military Trail, Suite 302, Boca Raton, FL 33434
(561) 443-8000 (561) 443-7995 fax

District Committee for District 7—Chair: William G. McMaster

- Committee members to be elected to terms expiring May 31, 2011: 3
- Committee members to be elected to terms expiring May 31, 2009: 1

Committee Members to Serve Until May 31, 2008

Raymond H. Smith, Jr.	Smith, Brown and Groover, Inc.	Macon, GA
William G. McMaster	Scott & Stringfellow, Inc.	Columbia, SC
Charles F. O’Kelley	Atlantic Coast Securities Corporation	Tampa, FL

Committee Members to Serve Until May 31, 2009

Marc A. Ellis	GunnAllen Financial, Inc.	Tampa, FL
Ronald J. Kovack	Kovack Securities, Inc.	Ft. Lauderdale, FL
[VACANT POSITION]		

Committee Members to Serve Until May 31, 2010

Jed E. Bandes	Mutual Trust Co. of America Securities	Clearwater, FL
Valerie G. Brown	ING Financial Partners, Inc.	Atlanta, GA
Karen Z. Fischer	Hunter Scott Financial, LLC	Delray Beach, FL

District Nominating Committee for District 7—Chair: Dennis S. Kaminski

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

Landrum H. Henderson, Jr.	Banc of America Investment Services, Inc.	Charlotte, NC
Dennis S. Kaminski	Mutual Service Corporation	West Palm Beach, FL
James A. Klotz	FMSBonds, Inc.	North Miami Beach, FL
Alan L. Maxwell, Jr.	Wachovia Capital markets, LLC	Charlotte, NC
Kenneth W. McGrath	Popular Securities, Inc.	San Juan, Puerto Rico

District 8

Carla A. Romano, Senior Vice President and Regional Director, Midwest Region

55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052

(312) 899-4400

(312) 899-4399 fax

District Committee for District 8—Chair: Ronald J. Dieckman

- Committee members to be elected to terms expiring May 31, 2011: 3

Committee Members to Serve Until May 31, 2008

Richard M. Arceci	ValMark Securities, Inc.	Akron, OH
Ronald J. Dieckman	J.J.B. Hilliard, W.L. Lyons, Inc.	Louisville, KY
Julie E. Vander Weele	Mesirow Financial, Inc.	Chicago, IL

Committee Members to Serve Until May 31, 2009

Stephen F. Anderson	Waterstone Financial Group, Inc.	Itasca, IL
Eric A. Bederman	Bernardi Securities, Inc.	Chicago, IL
Barbara A. Turner	The O.N. Equity Sales Company	Cincinnati, OH

Committee Members to Serve Until May 31, 2010

Joel R. Blumenschein	Freedom Investors Corp.	Hartland, WI
Thomas A. Bono	David A. Noyes & Company	Oak Park, IL
Steven J. Greenwald	Telemus Investment Brokers, LLC	Southfield, MI

District Nominating Committee for District 8—Chair: Ruth C. Hanneberg

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

George E. Bates	Bates Securities, Inc.	Rockford, IL
Michael E. Bosway	City Securities Corporation	Indianapolis, IN
Mari Buechner	Coordinated Capital Securities, Inc.	Madison, WI
Ruth C. Hanneberg	Mesirow Financial, Inc.	Chicago, IL
G. Donald Steel	Planned Investment Company, Inc.	Indianapolis, IN

District 9

Gary K. Liebowitz, Regional Director, North Region

581 Main Street, 7th Floor, Woodbridge, NJ 07095

(732) 596-2025 (732) 596-2001 fax

Robert B. Kaplan, District Director

1835 Market Street, Suite 1900, Philadelphia, PA 19103

(215) 963-1992 (215) 963-7442 fax

District Committee for District 9—Chair: Rebecca L. Kohler

- Committee members to be elected to terms expiring May 31, 2011: 3

Committee Members to Serve Until May 31, 2008

Michael T. Corrao	Knight Equity Markets LP	Jersey City, NJ
Stephen M. Youhn	Lincoln Financial Advisors	Philadelphia, PA
Rebecca L. Kohler	Ameriprise Financial Services, Inc.	Staunton, VA

Committee Members to Serve Until May 31, 2009

John M. Ivan	Janney Montgomery Scott LLC	Philadelphia, PA
Brand F. Meyer	Wachovia Securities, LLC	Richmond, VA
Thomas T. Wallace	Johnston, Lemon & Co. Incorporated	Washington, DC

Committee Members to Serve Until May 31, 2010

Wayne F. Holly	Sage Ruty & Co.	Rochester, NY
Richard Seelaus	R. Seelaus & Co., Inc.	Summit, NJ
Timothy L. Smith	Comprehensive Asset Management and Servicing, Inc.	Parsippany, NJ

District Nominating Committee for District 9—Chair: A. Louis Denton

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

A. Louis Denton	Peterson Investments, Inc.	Blue Bell, PA
Peter P. Jenkins	Credit Suisse Securities (USA) LLC	Baltimore, MD
W. Dean Karrash	Burke, Lawton, Brewer & Burke	Spring House, PA
Gregg A. Kidd	Pinnacle Investments Inc.	East Syracuse, NY
Harold N. Peremel	Mercantile Brokerage Services, Inc.	Baltimore, MD

District 10

Hans L. Reich, Senior Vice President and Regional Director, New York Region

One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006

(212) 858-4000

(212) 858-4078 fax

District Committee for District 10—Chair: Allen Meyer

- Committee members to be elected to terms expiring May 31, 2011: 4
- Committee members to be elected to terms expiring May 31, 2010: 1

Committee Members to Serve Until May 31, 2008

Vincent A. Buchanan	Buchanan Associates, Inc.	New York, NY
Clifford H. Goldman	Marco Polo Securities Inc.	New York, NY
Craig B. Jampol	WR Hambrecht + Co.	New York, NY
Howard Spindel	Integrated Management Solutions	New York, NY

Committee Members to Serve Until May 31, 2009

Barry M. Cash	Citigroup Global Markets Inc.	New York, NY
Joseph DeBellis	Sanford C. Bernstein & Co., LLC	New York, NY
Robyn Jeffrey	Oppenheimer & Co. Inc.	New York, NY
Allen Meyer	Credit Suisse First Boston LLC	New York, NY

Committee Members to Serve Until May 31, 2010

Kathryn G. Casparian	CIBC World Markets Corp.	New York, NY
Paul S. Ehrenstein	Zenith American Securities Corp.	New York, NY
James D. Lamke	Bear, Stearns & Co. Inc.	New York, NY

[VACANT POSITION]

District Nominating Committee for District 10—Chair: Margaret M. Caffrey

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

Margaret M. Caffrey	Schonfeld & Company, LLC	Jericho, NY
Lon T. Dolber	American Portfolios Financial Services	Holbrook, NY
Judith R. MacDonald	Rothschild Inc.	New York, NY
Richard J. Paley	Carey Financial, LLC	New York, NY
Howard R. Plotkin	Lehman Brothers Inc.	New York, NY

District 11

Frederick F. McDonald, Jr., District Director

99 High Street, Suite 900, Boston, MA 02110

(617) 532-3401

(617) 451-3524 fax

District Committee for District 11—Chair: Joseph Gritzer

- Committee members to be elected to terms expiring May 31, 2011: 3
- Committee members to be elected to terms expiring May 31, 2009: 1
- Committee members to be elected to terms expiring May 31, 2010: 1

Committee Members to Serve Until May 31, 2008

Frank L. Chandler	Boston Capital Services, Inc.	Boston, MA
Joseph Gritzer	USI Securities, Inc.	Glastonbury, CT
Moirra Lowe	Sun Life Financial	Wellesley Hills, MA

Committee Members to Serve Until May 31, 2009

Martin W. Courage	Bank of America Investment Services	Boston, MA
Robert J. Reilly	Piper Jaffray & Co.	Boston, MA

[VACANT POSITION]

Committee Members to Serve Until May 31, 2010

Michael E. Callaghan	Harvest Capital LLC	Wethersfield, CT
Tina Blakely Maloney	Winslow, Evans & Crocker	Boston, MA

[VACANT POSITION]

District Nominating Committee for District 11—Chair: Thomas J. Horack

- Committee members to be elected to terms expiring May 31, 2009: 5

Committee Members to Serve Until May 31, 2008

David K. Booth	Jefferson Pilot Securities Corp.	Concord, NH
Mark R. Hansen	Alta Capital Group, LLC	Boston, MA
Thomas J. Horack	Sun Life Financial Distributors	Wellesley Hills, MA
Thomas F. Hollenbeck	National Financial Services, LLC	Boston, MA
Wilson G. Saville	Barrett & Company	Providence, RI

ATTACHMENT B

Procedures for Electing District Committee and District Nominating Committee Members

1. Each FINRA District shall maintain a District Committee and District Nominating Committee in the manner specified in Article VIII of FINRA Regulation's By-Laws.
2. FINRA's Corporate Secretary has sent a letter to each District Nominating Committee member and each District Director identifying the members of the District Committee and the District Nominating Committee whose terms expire on May 31, 2008. The letter described the election procedures to be followed in filling these positions.
3. FINRA will email a reminder to all members of their responsibility, and obligation, to keep current and accurate the information on their Executive Representative. The email will contain a reference to the FINRA Contact System, located on FINRA's Web site at www.finra.org/fcs, for changing a firm's Executive Representative name, email and postal address.
4. FINRA will send an *Election Notice* announcing the forthcoming elections to all member firms and the Executive Representative of all FINRA member firms eligible to vote in each district. The Election Notice will describe the election procedures and identify the number of positions to be filled in each district and the incumbent members of each District Committee. Individuals who are interested in serving on the District Committee or the District Nominating Committee within their district must complete a candidate profile form and submit it by hand delivery, courier service, mail or facsimile to the District Director. Completed candidate profile forms must be received by the District Director on or before **February 4, 2008**. Candidate profile forms received after this date will not be considered.
5. Completed candidate profile forms received by the District Director on or before **February 4, 2008**, will be provided to all members of the appropriate District Nominating Committee for review. FINRA staff also will provide the District Nominating Committee members with information considered to be relevant to the nomination process analytical data pertaining to the district's membership. Soon after receiving the candidate profile forms and district membership information, the District Nominating Committee will identify and solicit candidates to nominate for election to the District Committee and the District Nominating Committee.
6. In determining its slate of candidates for the election, the District Nominating Committee will review the background and qualifications of the proposed candidates, and 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 various classes and types of FINRA members engaged in the investment banking or securities business within the district. The slate must include the same number of nominees as there are positions to be filled on the District Committee and the District Nominating Committee.

A District Nominating Committee may not nominate more than two incumbent members of the District Nominating Committee to succeed themselves. Each District Nominating Committee member shall: (1) be registered with a FINRA member eligible to vote in the district for District Committee elections, and (2) work primarily from such FINRA member's principal office or a branch office that is located within the district where the member serves on a District Nominating Committee, but shall not be a member of the District Committee. A majority of the members of the District Nominating Committee must include persons who previously have served on a District Committee, as a current or former Director of the FINRA Regulation Board, or as a current or former Governor of the FINRA Board, or its predecessors.

A District Nominating Committee shall not nominate an incumbent member of the District Committee to succeed himself or herself on the District Committee unless the incumbent member of the District Committee was appointed to fill a vacancy on the District Committee resulting from (1) death, resignation, removal, or other cause of a regularly elected member's office prior to the expiration of the full term or (2) a newly created membership on a District Committee by virtue of an increase in the authorized number of members on the District Committee. Each District Committee member shall: (1) be registered with a FINRA member eligible to vote in the district for District Committee elections, and (2) work primarily from such FINRA member's principal office or a branch office that is located within the district where the member serves on a District Committee. District Committee members may not serve more than two consecutive terms.

The District Nominating Committee may also nominate one alternate candidate for the District Committee and one alternate candidate for the District Nominating Committee. In the event of an uncontested election pursuant to Article VIII, Section 8.19 of FINRA Regulation's By-Laws, the alternate candidate would replace any member of the nominated slate of candidates who withdrew or was determined to be ineligible.

7. On or before **February 20, 2008**, the District Director, acting on behalf of the District Nominating Committee, will notify FINRA's Corporate Secretary of each candidate nominated by the District Nominating Committee and the committee and, if applicable, class to which the candidate is nominated.
8. On or before **February 27, 2008**, FINRA will send a second *Election Notice* to the District Committees and the Executive Representatives of FINRA member firms eligible to vote in each district, identifying the nominees for the District Committees and the District Nominating Committees.

If the District Nominating Committee nominates the same number of nominees as there are positions to be filled on the District Committee and the District Nominating Committee and no additional candidate comes forward by delivering written notice to the appropriate District Director within 14 calendar days after the date of the second *Election Notice* identifying the district nominees, the candidates nominated by the District Nominating Committee are considered duly elected.

9. If a person who is otherwise eligible to serve on the District Committee or the District Nominating Committee was not nominated by the District Nominating Committee and wants to be considered for election as an additional candidate, he/she must notify the District Director in writing within 14 calendar days after the date of the second *Election Notice* referenced in item 8 above. The District Director must make a written record of the time and date of the receipt of such notification. Such person will be designated as an “additional” candidate.”
10. Promptly following receipt of the additional candidate’s timely notice by the District Director, FINRA’s Corporate Secretary will provide to the additional candidate a list of all FINRA member firms eligible to vote in the district, their mailing addresses and their Executive Representatives.
11. An additional candidate is considered nominated if a petition signed by the Executive Representative of at least 10 percent of the FINRA member firms eligible to vote in the district is filed with the District Nominating Committee within 30 calendar days after the mailing date of the list to the additional candidate referenced in item 10 above.
12. If an additional candidate secures the required petition within the 30-day designated timeframe, the election is considered a contested election. The Corporate Secretary of FINRA will send a third *Election Notice* to the Executive Representatives of the FINRA member firms eligible to vote in the district announcing the names of all candidates and describing the contested election procedures.

Additional information pertaining to the District Committee and District Nominating Committee Election Procedures may be found in Article VIII of FINRA Regulation’s By-Laws.

ATTACHMENT C - District Election Candidate Profile Form

Indicate the position for which you wish to be considered:

☐ District Committee **OR** ☐ District Nominating Committee

For which District: _____

Current Registration

Name: _____ CRD#: _____

Firm Name: _____ Firm#: _____

Title/Primary Responsibility: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____

Email: _____

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

Firm: _____

Title/Primary Responsibility: _____

Firm: _____

Title/Primary Responsibility: _____

General Areas of Expertise

(please check all that apply)

- | | |
|--|--|
| ☐ Compliance/Legal | ☐ Retail Sales |
| ☐ Corporate Finance | ☐ Trading/Market Making |
| ☐ Financial/Operational | ☐ Other |
| ☐ Institutional Sales | |
| ☐ Investment Advisory | |

Product Expertise

(please check all that apply)

- | | |
|--|---|
| ☐ Corporate Bonds | ☐ Investment Company |
| ☐ Direct Participation Programs | ☐ Options |
| ☐ Equity Securities | ☐ Variable Contracts |
| ☐ Municipal/Government Securities | ☐ Securities |
| | ☐ Other |

Memberships/Positions in Trade or Business Organizations

Past NASD or FINRA Experience and Dates of Service (please check all that apply)

- | | |
|--|----------------------|
| ☐ Committee Member
(Identify committee): _____ | Approx. Dates: _____ |
| ☐ Arbitrator | Approx. Dates: _____ |
| ☐ Mediator | Approx. Dates: _____ |
| ☐ Expert Witness (arbitrations; disciplinary proceedings) | Approx. Dates: _____ |
| ☐ Other: _____ | Approx. Dates: _____ |

Educational Background

School: _____ Degree: _____

School: _____ Degree: _____

Return completed candidate profile forms to the appropriate District Director on or before February 4, 2008.