

Election Notice

District Elections

Nominees for the District Committees and District Nominating Committees

Executive Summary

The purpose of this *Election Notice* is to announce the nominees for the District Committees and the District Nominating Committees.¹

The individuals identified in this *Notice* have been nominated for the District Committees and District Nominating Committees, for terms beginning in June 2008. The term of office for District Committee members is three years, unless an individual was selected to complete an existing term. Each District Nominating Committee member serves a one-year term.² The length of the term of each nominee and the Committee for which they are being nominated are specified in Attachment A.

These nominees will be considered duly elected on April 11, 2008, to terms beginning June 1, 2008, unless an election is contested in accordance with the procedures summarized below.

A total of 262 individuals submitted their names for consideration. We appreciate the substantial interest shown by all of the candidates, and thank everyone for their continuing support of the self-regulatory process.

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/022708. Executive Representatives should circulate this *Notice* to their firm's branch managers.

Questions concerning this *Notice* may be directed to:

- The District Office contact noted in Attachment A;
- Marcia E. Asquith, Senior Vice President and Corporate Secretary, FINRA, at (202) 728-8831; or
- Via email at CorporateSecretary@finra.org.

February 27, 2008

Suggested Routing

- Compliance
- Executive Representatives
- Legal
- Operations
- Registration
- Senior Management

Background

Additional Candidates

If a person meets the qualifications, is eligible to serve,³ has not been nominated by a District Nominating Committee as a candidate or alternate, and wants to be considered for election to a District Committee or the District Nominating Committee, he or she must deliver a written notice to the District Director or Regional Director within 14 calendar days of the date of this *Notice*—**March 12, 2008**.

Petition Process

If an additional candidate or candidates come forward by March 12, 2008, the Corporate Secretary will provide each such candidate with a list of member firms eligible to vote in their District. The list will include the name of the Executive Representative and the mailing address for each firm.

To be considered for nomination, an additional candidate must submit a petition to the District Nominating Committee with signatures from at least 10 percent of Executive Representatives of member firms eligible to vote in the District within 30 calendar days of receipt of the list of members. If an additional candidate submits a petition with the requisite number of valid signatures by **April 11, 2008**, he or she will be considered nominated and the election will be considered contested.

Contested Election Procedures

If an election is contested, the Corporate Secretary of FINRA will send another *Election Notice* to the Executive Representatives of the FINRA member firms eligible to vote in the District announcing the names of the candidates nominated by the District Nominating Committee, the candidates who have petitioned to be on the ballot and the contested election procedures with instructions on how to vote.

Additional information pertaining to the District Election Procedures can be found in Article VIII of FINRA Regulation's By-Laws.

Endnotes

- 1 In addition to nominating a slate of candidates for each of these committees, each District Nominating Committee may nominate one alternate candidate for each committee. The nomination of alternate candidates is permitted under Section 8.17 of the By-Laws of FINRA Regulation. Attachment A identifies each District Nominating Committee's slate of nominees, plus alternate candidates (if any).
- 2 Some nominees are filling existing vacancies and therefore may serve less than a three-year term, as indicated on Attachment A.
- 3 To be eligible to serve, an individual must (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. See Sections 8.2 or 8.9 of FINRA Regulation's By-Laws, as applicable.

Attachment A

District Committee and District Nominating Committee Nominees

District 1

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

Christian A. Zrull, District Director (415) 217-1100
One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 956-1931 fax

District Nominating Committee Chair: Francis X. Roche II

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
Total Number of Candidates Considered: 8
- District Nominating Committee members to be elected to terms expiring May 31, 2009: 5
Total Number of Candidates Considered: 6

District Committee Nominees for Terms Expiring May 31, 2011

Christopher Aguilar	Merriman Curhan Ford & Co.	San Francisco, CA
Stephen Chipman	Foothill Securities, Inc.	Mountain View, CA
Philip J. Economopoulos	Howe Barnes Hoefer & Arnett, Inc.	San Francisco, CA

Alternate Candidate

Herbert Kurlan	VT Brokers, LLC	San Francisco, CA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Howard A. Bernstein	Pacific Growth Equities, LLC	San Francisco, CA
William A. Evans	Stone & Youngberg, LLC	San Francisco, CA
Warren E. Gordon	Charles Schwab & Co.	San Francisco, CA
Bruce W. Nollenberger	Nollenberger Capital Partners, Inc.	San Francisco, CA
Daniel W. Roberts	Roberts & Ryan Investments Inc.	San Francisco, CA

Alternate Candidate

William A. Svoboda	Deutsche Bank Alex. Brown	San Francisco, CA
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District 2

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

David A. Greene, District Director (213) 229-2300
300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071-3126 (213) 617-3299 fax

District Nominating Committee Chair: Don S. Dalis

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 - District Committee members to be elected to terms expiring May 31, 2009: 1
Total Number of Candidates Considered: 17
 - District Nominating Committee members to be elected to terms expiring May 31, 2009: 5
Total Number of Candidates Considered: 6
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District Committee Nominees for Terms Expiring May 31, 2011

Donna B. Lawson	First Allied Securities, Inc.	San Diego, CA
Kerry E. Cunningham	Financial Network Investment Corporation	El Segundo, CA
Westley H. King	Centarus Financial, Inc.	Orange, CA

District Committee Nominees to Serve the Remainder of a Term Expiring May 31, 2009

Mitchell W. Howard	First Wilshire Securities Management, Inc.	Pasadena, CA
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Alternate Candidate

S. Kendrick Dunn, Jr.	Pacific Select Distributors, Inc.	Newport Beach, CA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Stephen B. Benton	Financial Network Investment Corporation	El Segundo, CA
James M. Dillahunty	Fixed Income Securities, LP	San Diego, CA
Kenneth R. Hyman	Partnervest Securities, Inc.	Santa Barbara, CA
Valorie A. Seyfert	CUSO Financial Services, LP	San Diego, CA
Bryan R. Plank	Merrill Lynch, Pierce, Fenner & Smith Incorporated	San Diego, CA

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

**Joseph M. McCarthy, Vice President and Regional Director
West Region**

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

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

Alaska, Idaho, Montana, Oregon and Washington

Michael E. Lewis, District Director

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

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

District Nominating Committee Chair: Bridget M. Gaughan

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 - District Committee members to be elected to terms expiring May 31, 2009: 1
Total Number of Candidates Considered: 18
 - District Nominating Committee members to be elected to terms expiring
May 31, 2009: 5
Total Number of Candidates Considered: 5
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District Committee Nominees for Terms Expiring May 31, 2011

James R. Cannon	AIG Financial Advisors, Inc.	Phoenix, AZ
Adam M. Carmel	Larimer Capital Corporation	Denver, CO
Paige W. Pierce	RW Smith & Associates, Inc.	Sandy, UT

District Committee Nominee to Serve the Remainder of a Term Expiring May 31, 2009

Steven S. Iversen	NEXT Financial Group, Inc.	Albuquerque, NM
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Alternate Candidate

Russell R. Diachok	Geneos Wealth Management, Inc.	Centennial, CO
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Gregory R. Anderson	MCL Financial Group, Inc.	Denver, CO
Curtis J. Hammond	Morgan Stanley & Co., Incorporated	Bellevue, WA
Craig A. Jackson	Financial Network Investment Corporation	Roseburg, OR
Harry L. Striplin	Paulson Investment Company, Inc.	Portland, OR
Arlene M. Wilson	D.A. Davidson & Co.	Great Falls, MT

District 4

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

Thomas D. Clough, Associate Vice President and District Director (816) 421-5700
120 W. 12th Street, Suite 800, Kansas City, MO 64105 (816) 421-5029 fax

District Nominating Committee Chair: Joseph D. Fleming

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 - District Committee members to be elected to terms expiring May 31, 2009: 1
Total Number of Candidates Considered: 27
 - District Nominating Committee members to be elected to terms expiring May 31, 2009: 5
Total Number of Candidates Considered: 5
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District Committee Nominees for Terms Expiring May 31, 2011

Christopher A. Cokinis	ING Financial Partners, Inc.	Des Moines, IA
Cheryl L. Heilman	Ameritas Investment Corp.	Lincoln, NE
James E. Nelson	Minnesota Valley Investments	Redwood Falls, MN

District Committee Nominee to Serve the Remainder of a Term expiring May 31, 2009

Jennifer R. Relien	Thrivent Investment Management, Inc.	Minneapolis, MN
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Alternate Candidate

Amy L. Webber	Cambridge Investment Research, Inc.	Fairfield, IA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Kenneth M. Cherrier	Woodbury Financial Services, Inc.	Woodbury, MN
Joseph D. Fleming	RBC Dain Rauscher Inc.	Minneapolis, MN
Mark T. Lasswell	Wells Fargo Brokerage Services, LLC	Minneapolis, MN
Allen J. Moore	SMITH HAYES Financial Services Corporation	Lincoln, NE
Minoo Spellerberg	Princor Financial Services Corporation	Des Moines, IA

District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850

(504) 522-6527

(504) 522-4077 fax

New Orleans, LA 70163

District Nominating Committee Chair: Carolyn R. May

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
Total Number of Candidates Considered: 12
 - District Nominating Committee members to be elected to terms expiring
May 31, 2009: 5
Total Number of Candidates Considered: 6
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District Committee Nominees for Terms Expiring May 31, 2011

Rush F. Harding, III	Crews & Associates, Inc.	Little Rock, AR
Phillip H. Palmer	First Independent Financial Services, Inc.	Tulsa, OK
Sarah Sherck	Avondale Partners, LLC	Nashville, TN

Alternate Candidate

Mark Sheridan	Johnson Rice & Company, LLC	New Orleans, LA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Michaela D. Myers	NAFA CapitalMarkets, LLC	Oklahoma City, OK
James S. Jones	Crews & Associates, Inc.	Little Rock, AR
Henry M. "Trey" Fyfe, III	Duncan-Williams, Inc.	Memphis, TN
F. Eugene Woodham	Sterne, Agee & Leach, Inc.	Birmingham, AL
R. Patrick Shepherd	Avondale Partners, LLC	Nashville, TN

Alternate Candidate

Jennifer Carty Scola	Carty & Company, Inc.	Memphis, TN
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District 6

Texas

Virginia F. M. Jans, Senior Vice President and Regional Director (972) 701-8554
South Region (972) 716-7646 fax
 12801 N. Central Expressway, Suite 1050, Dallas, TX 75243

District Nominating Committee Chair: William D. Felder

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 Total Number of Candidates Considered: 19
 - District Nominating Committee members to be elected to terms expiring
 May 31, 2009: 5
 Total Number of Candidates Considered: 7
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District Committee Nominees for Terms Expiring May 31, 2011

Darla Bartkowiak	Amherst Securities Group, LP	Austin, TX
Frederick T. Greene	Raymond James Financial Services, Inc.	The Woodlands, TX
Wilson Williams	WFG Investments, Inc.	Dallas, TX

Alternate Candidate

Jane Bates	Global Financial Services, LLC	Houston, TX
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Cynthia E. Besek	Maplewood Investment Advisors, Inc.	Dallas, TX
Bryan T. Emerson	Starlight Investments, LLC	Houston, TX
Brent T. Johnson	Multi-Financial Securities Corporation	Houston, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX
Michael A. Pagano	1st Global Capital Corp.	Dallas, TX

Alternate Candidate

Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
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District 7

Georgia, North Carolina and South Carolina

Daniel J. Stefek, Associate Vice President and District Director (404) 239-6100
One Securities Centre, Suite 500, 3490 Piedmont Road, NE (404) 237-9290 fax
Atlanta, GA 30305

Florida, Puerto Rico, the Canal Zone and the Virgin Islands

Mitchell C. Atkins, Vice President and District Director (561) 443-8000
Crystal Corporate Center, 2500 N. Military Trail, Suite 302 (561) 443-7995 fax
Boca Raton, FL 33434

District Nominating Committee Chair: Dennis S. Kaminski

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
- District Committee members to be elected to terms expiring May 31, 2009: 1
Total Number of Candidates Considered: 24
- District Nominating Committee members to be elected to terms expiring
May 31, 2009: 5
Total Number of Candidates Considered: 10

District Committee Nominees for Terms Expiring May 31, 2011

Richard K Bryant	Capital Investment Group, Inc.	Raleigh, NC
Matthew A. Guerrise	FMSBonds, Inc.	Boca Raton, FL
Raymond H. Smith, Jr.	Smith, Brown & Groover, Inc.	Macon, GA

District Committee Nominee to Serve the Remainder of a Term Expiring May 31, 2009

Ruth A. Burgess	INVEST Financial Corp.	Tampa, FL
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Alternate Candidate

Caroline Wisniewski	Bridge Capital Associates, Inc.	Norcross, GA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Richard G. Averitt	Raymond James Financial Services, Inc.	St. Petersburg, FL
William G. McMaster	Scott & Stringfellow, Inc.	Columbia, NC
Charles F. O'Kelley	Atlantic Coast Securities Corporation	Tampa, FL
Kenneth W. McGrath	Popular Securities, Inc.	San Juan, PR
Alan L. Maxwell, Jr.	Wachovia Capital Markets, LLC	Charlotte, NC

Alternate Candidate

C. John O'Bryant III	Stifel, Nicolaus & Company, Incorporated	Raleigh, NC
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District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

Carla A. Romano, Senior Vice President and Regional Director (312) 899-4400
Midwest Region (312) 899-4399 fax
 55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052

District Nominating Committee Chair: Ruth C. Hannenberg

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 Total Number of Candidates Considered: 17
 - District Nominating Committee members to be elected to terms expiring May 31, 2009: 5
 Total Number of Candidates Considered: 10
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District Committee Nominees for Terms Expiring May 31, 2011

Jeffrey F. Freiburger	Robert W. Baird & Co.	Milwaukee, WI
Edward A. Horwitz	Horwitz & Associates, Inc.	Riverwoods, IL
James P. Miller	SII Investments, Inc.	Appleton, WI

Alternate Candidate

Gary K. Moss	Stifel, Nicolaus & Company, Inc.	Indianapolis, IN
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Richard M. Arceci	ValMark Securities, Inc.	Akron, OH
Michael E. Bosway	City Securities Corporation	Indianapolis, IN
Mari Buechner	Coordinated Capital Securities, Inc.	Madison, WI
Ronald J. Dieckman	J.J.B. Hilliard, W.L. Lyons, Inc.	Louisville, KY
Thomas M. McDonald	Thomas McDonald Partners, LLC	Cleveland, OH

Alternate Candidate

Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL
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District 9

New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City)

Gary K. Liebowitz, Senior Vice President and Regional Director (732) 596-2025
North Region (732) 596-2001 fax
581 Main Street, 7th Floor, Woodbridge, NJ 07095

Delaware, the District of Columbia, Maryland, Pennsylvania, Virginia and West Virginia

Robert B. Kaplan, District Director (215) 963-1992
1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-7442 fax

District Nominating Committee Chair: A. Louis Denton

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
Total Number of Candidates Considered: 24
- District Nominating Committee members to be elected to terms expiring
May 31, 2009: 5
Total Number of Candidates Considered: 5

District Committee Nominees for Terms Expiring May 31, 2011

Nancy L. H. Boyd	Lincoln Investment Planning, Inc.	Wyncote, PA
Celeste Leonard	First Montauk Securities Corp.	Red Bank, NJ
Sarah McCafferty	T. Rowe Price Investment Services, Inc.	Baltimore, MD

Alternate Candidate

Kenneth I. Schindler	Prudential Investment Management Services, LLC	Iselin, NJ
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Michael T. Corrao	Knight Equity Markets, LP	Jersey City, NJ
A. Louis Denton	Petersen Investments, Inc.	Blue Bell, PA
Richard Grobman	Oppenheimer & Co. Inc.	Philadelphia, PA
John P. Meegan	Hefren-Tillotson, Inc.	Pittsburgh, PA
Stephen M. Youhn	Lincoln Financial Advisors Corporation	Philadelphia, PA

District 10

New York (the counties of Nassau and Suffolk, and the five boroughs of New York City)

Hans L. Reich, Senior Vice President and Regional Director (212) 858-4000
New York Region (212) 858-4078 fax
 One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006

District Nominating Committee Chair: Margaret M. Caffrey

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 4
 - District Committee members to be elected to terms expiring May 31, 2010: 1
Total Number of Candidates Considered: 8
 - District Nominating Committee members to be elected to terms expiring May 31, 2009: 5
Total Number of Candidates Considered: 6
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District Committee Nominees for Terms Expiring May 31, 2011

Cynthia Dowling	SEB Enskilda, Inc.	New York, NY
Eric L. Kriftcher	Banc of America Securities LLC	New York, NY
Thomas J. Santucci	Royal Alliance Associates, Inc.	Garden City, NY
David M. Sobel	Able/Noser Corp.	New York, NY

District Committee Nominee to Serve the Remainder of a Term Expiring May 31, 2010

James A. Brodie	Jesup & Lamont Securities Corp.	New York, NY
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Alternate Candidate

Vlad Uchenik	Safdie Investment Services Corp.	New York, NY
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

Lon T. Dolber	American Portfolios Financial Services	Holbrook, NY
Judith R. MacDonald	Rothschild Inc.	New York, NY
Howard R. Plotkin	Lehman Brothers Inc.	New York, NY
Clifford H. Goldman	Marco Polo Securities Inc.	New York, NY
Howard Spindel	Integrated Management Solutions USA LLC	New York, NY

Alternate Candidate

Shana Madoff	Bernard L. Madoff Investment Securities LLC	New York, NY
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District 11

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island and Vermont

Frederick F. McDonald, Jr., District Director (617) 532-3401
99 High Street, Suite 900, Boston, MA 02110 (617) 451-3524 fax

District Nominating Committee Chair: Thomas J. Horack

Positions Being Filled in this Election:

- District Committee members to be elected to terms expiring May 31, 2011: 3
 - District Committee members to be elected to terms expiring May 31, 2010: 1
 - District Committee members to be elected to terms expiring May 31, 2009: 1
Total Number of Candidates Considered: 16
 - District Nominating Committee members to be elected to terms expiring
May 31, 2009: 5
Total Number of Candidates Considered: 6
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District Committee Nominees for Terms Expiring May 31, 2011

Vincent M. Manzi	State Street Global Markets, LLC	Boston, MA
Victoria L. Olson	Prudential Annuities Distributors	Shelton, CT
Stephen L. Schardin	Charles River Brokerage, LLC	Burlington, MA

District Committee Nominee to Serve the Remainder of a Term Expiring May 31, 2010

David J. Freniere	LPL Financial Corporation	Boston, MA
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District Committee Nominee to Serve the Remainder of a Term Expiring May 31, 2009

Edward J. Wiles, Jr.	Genworth Financial Securities Corp.	Stamford, CT
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Alternate Candidate

Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
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District Nominating Committee Nominees for Terms Expiring May 31, 2009

David K. Booth	Jefferson Pilot Securities Corp.	Concord, NH
John I. Fitzgerald	Leerink Swann, LLC	Boston, MA
Joseph Gritzer	USI Securities, Inc.	Glastonbury, CT
Thomas Horack	Sun Life Financial Distributors	Wellesley Hills, MA
Curtis L. Snyder	American Technology Research, Inc.	Greenwich, CT