

# 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.<sup>1</sup> The individuals identified in this *Notice* have been nominated for the District Committees and District Nominating Committees for terms beginning in June 2009. The term of office for District Committee members is three years, unless an individual is selected to complete an existing term.<sup>2</sup> Each District Nominating Committee member serves a one-year term. 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 8, 2009, to terms beginning June 1, 2009, unless an election is contested in accordance with the procedures summarized below.

**Note:** FINRA distributed this *Notice* electronically only to the Executive Representative of each FINRA member firm and it is posted on FINRA's Web site at [www.finra.org/Notices/Election/022309](http://www.finra.org/Notices/Election/022309). 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; or
- Marcia E. Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949 or [CorporateSecretary@finra.org](mailto:CorporateSecretary@finra.org).

February 23, 2009

#### Suggested Routing

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

## Additional Candidates

If a person meets the qualifications, is eligible to serve,<sup>3</sup> 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 9, 2009**.

## Petition Process

If an additional candidate or candidates come forward by March 9, 2009, the Corporate Secretary will provide each such candidate with a list of 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 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 8, 2009, he or she will be considered nominated and the election will be contested.

## Contested Election Procedures

If an election is contested, the Corporate Secretary of FINRA will send an *Election Notice* and ballot to the Executive Representatives of the FINRA firms eligible to vote in the District listing 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 firm 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*

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#### Christian A. Zrull, District Director

One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 217-1100  
(415) 956-1931 fax

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#### District Nominating Committee Chair: William A. Evans

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##### Positions Being Filled in This Election:

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 17
- ▶ District Nominating Committee members to be elected to terms expiring May 31, 2010: 5  
Total Number of Candidates Considered: 6

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#### District Committee Nominees for Terms Expiring May 31, 2012

Nancy A. Mullally	Alamo Capital	Walnut Creek, CA
Robert J. Zamecki	Lighthouse Capital Corporation	Monterey, CA
Vincent M. Faughnan	Banc of America Securities, LLC	San Francisco, CA

##### Alternate Candidate

Douglas C. Heske	Nollenberger Capital Partners, Inc.	San Francisco, CA
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#### District Nominating Committee Nominees for Terms Expiring May 31, 2010

Christopher D. Charles	Wulff, Hansen & Co.	San Francisco, CA
Kevin T. Kitchin	Wachovia Securities, LLC	San Francisco, CA
Bruce W. Nollenberger	Nollenberger Capital Partners, Inc.	San Francisco, CA
Daniel W. Roberts	Roberts & Ryan Investments, Inc.	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	San Francisco, CA

##### Alternate Candidate

Howard A. Bernstein	Pacific Growth Equities, LLC	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*

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### David A. Greene, District Director

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071-3126 (213) 613-2634  
(213) 613-1401 fax

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### District Nominating Committee Chair: Valorie Seyfert

#### Positions Being Filled in This Election:

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
District Committee member to be elected to term expiring May 31, 2010: 1  
Total Number of Candidates Considered: 15
- ▶ District Nominating Committee members to be elected to terms expiring May 31, 2010: 5  
Total Number of Candidates Considered: 5

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#### District Committee Nominees for Terms Expiring May 31, 2012

S. Kendrick Dunn, Jr.	Pacific Select Distributors, Inc.	Newport Beach, CA
Peter K. Vonk	CUSO Financial Services, L.P.	San Diego, CA
Steven L. Thornton	Valtus Capital Group, LLC	Tarzana, CA

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#### District Committee Nominee for Term Expiring May 31, 2010

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

Bardea C. Huppert	Farmers Financial Solutions, LLC	Agoura Hills, CA
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#### District Nominating Committee Nominees for Terms Expiring May 31, 2010

Valorie A. Seyfert	CUSO Financial Services, L.P.	San Diego, CA
Kenneth R. Hyman	Partnervest Securities, Inc.	Santa Barbara, CA
Steven K. Klein	Farmers Financial Solutions, LLC	Agoura Hills, CA
Gary A. Martino	brokersXpress, LLC	Thousand Oaks, CA
M. LaRae Bakerink	WBB Securities, LLC	San Diego, CA

## District 3

*Arizona, Colorado, New Mexico, Utah and Wyoming*

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

4600 S. Syracuse, Suite 1400, Denver, CO 80237

(303) 446-3100

(303) 620-9450 fax

*Alaska, Idaho, Montana, Oregon and Washington*

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### **Michael E. Lewis, District Director**

601 Union Street, Suite 1616, Seattle, WA 98101

(206) 624-0790

(206) 623-2518 fax

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### **District Nominating Committee Chair: Gregory R. Anderson**

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#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
District Committee member to be elected to term expiring May 31, 2010: 1  
Total Number of Candidates Considered: 22
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 7

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#### **District Committee Nominees for Terms Expiring May 31, 2012**

Paul T. Amsbury	Morgan Stanley & Co.	Portland, OR
Kay A. Johnson	National Securities Corporation	Seattle, WA
Bruce J. Maranda	Canaccord Capital Corporation USA, Inc.	Vancouver, BC

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#### **District Committee Nominee for Term Expiring May 31, 2010**

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

Patrick H. McEvoy	Multi-Financial Securities Corporation	Denver, CO
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

Louis H. (Hoyt) DeMers	Wells Fargo Investments, LLC	Seattle, WA
Russell R. Diachok	Geneos Wealth Management, Inc.	Centennial, CO
David J. Director	McAdams Wright Ragen, Inc.	Seattle, WA
Craig A. Jackson	Financial Network Investment Corp.	Roseburg, OR
Harry L. Striplin	Strand, Atkinson, Williams & York, Inc.	Portland, OR

## District 4

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

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### 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

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### District Nominating Committee Chair: Joe Fleming

#### Positions Being Filled in This Election:

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 23
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 7

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#### District Committee Nominees for Terms Expiring May 31, 2012

Jennifer Relien	Thrivent Investment Management	Minneapolis, MN
Dana Bjornson	George K. Baum & Company	Kansas City, MO
Amy Webber	Cambridge Investment Research, Inc.	Fairfield, IA

#### Alternate Candidate

Craig Markham	Walnut Street Securities	St. Louis, MO
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#### District Nominating Committee Nominees for Terms Expiring May 31, 2010

Andrew Small	Scottrade, Inc.	St. Louis, MO
Patricia Bartholomew	Craig-Hallum Capital Group, LLC	Minneapolis, MN
Pamela Ziermann	Dougherty & Company, LLC	Minneapolis, MN
Allen Moore	Smith Hayes Financial Services, Corp.	Lincoln, NE
Mino Spellerberg	Princor Financial Services	Des Moines, IA

## District 5

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

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### **Keith E. Hinrichs, District Director**

1100 Poydras Street, Energy Centre, Suite 850  
New Orleans, LA 70163

(504) 522-6527  
(504) 522-4077 fax

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### **District Nominating Committee Chair: Henry M. Fyfe, III**

#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 12
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 6

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#### **District Committee Nominees for Terms Expiring May 31, 2012**

LeRoy "Lee" Paris, II	InvestLinc Securities, LLC	Jackson, MS
Mark Sheridan	Johnson Rice & Company, LLC	New Orleans, LA
James F. Dixon, III	Sterne, Agee & Leach, Inc.	Birmingham, AL

#### **Alternate Candidate**

William E. Hopkins, II	Silver Oak Securities, Inc.	Jackson, TN
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

J. French Hill	Delta Trust Investments, Inc.	Little Rock, AR
Michaela Myers	NAFA Capital Markets	Oklahoma City, OK
Jefferson G. Parker	Howard Weil, Inc.	New Orleans, LA
Jennifer C. Scola	Carty & Company, Inc.	Memphis, TN
F. Eugene Woodham	Sterne, Agee & Leach, Inc.	Birmingham, AL

#### **Alternate Candidate**

James S. Jones	Crews & Associates, Inc.	Little Rock, AR
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## District 6

*Texas*

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### Virginia F. M. Jans, Senior Vice President and Regional Director, South Region

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243 (972) 701-8554  
(972) 716-7646 fax

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### District Nominating Committee Chair: Cynthia E. Besek

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#### Positions Being Filled in This Election:

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 14
  - ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 6
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#### District Committee Nominees for Terms Expiring May 31, 2012

Adan Araujo	First Command Financial Planning	Fort Worth, TX
William Cathriner	BBVA Investments, Inc.	Houston, TX
Kelly Welker	LPL Financial Corporation	San Antonio, TX

#### Alternate Candidate

Rebecca Starling-Platt	Invesco AIM Distributors, Inc.	Houston, TX
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#### District Nominating Committee Nominees for Terms Expiring May 31, 2010

Bryan Emerson	Starlight Investments, LLC	Houston, TX
Sennett Kirk	Kirk Securities Corp.	Denton, TX
John Christopher Melton	Coastal Securities, Inc.	Houston, TX
William H. Lowell	Lowell & Company, Inc.	Lubbock, TX
Alan Goldfarb	Weaver Tidwell Capital LLC	Dallas, TX

#### Alternate Candidate

Michael A. Pagano	1st Global Capital Corp.	Dallas, TX
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## District 7

*Georgia, North Carolina and South Carolina*

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### **Daniel J. Stefek, Associate Vice President and District Director**

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

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

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### **Mitchell C. Atkins, Vice President and District Director**

Crystal Corporate Center (561) 443-8000  
2500 N. Military Trail, Suite 302, Boca Raton, FL 33431 (561) 443-7995 fax

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### **District Nominating Committee Chair: Kenneth W. McGrath**

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#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
District Committee members to be elected to terms expiring May 31, 2010: 1  
Total Number of Candidates Considered: 15
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 5

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#### **District Committee Nominees for Terms Expiring May 31, 2012**

Ruth A. Burgess	INVEST Financial Corporation	Tampa, FL
Donald K. Runkle	Raymond James Financial Services, Inc.	St. Petersburg, FL
Caroline (Carrie) Wisniewski	Bridge Capital Associates, Inc.	Norcross, GA

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#### **District Committee Nominee for Term Expiring May 31, 2010**

John T. Rhett, III	SunTrust Investment Services, Inc.	Atlanta, GA
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#### **Alternate Candidate**

Kenneth S. Bell	ING Financial Partners, Inc.	Atlanta, GA
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

Susan J. Hechtlinger	SunTrust Investment Services, Inc.,	Atlanta, GA
William G. McMaster	Scott & Stringfellow, Inc.,	Columbia, SC
Charles F. O'Kelley	Atlantic Coast Securities Corporation,	Tampa, FL
Roark (Rocky) A. Young	Young, Stovall and Company,	Miami, FL
Landrum H. Henderson	Banc of America Investments Services, Inc.,	Charlotte, NC

## District 8

*Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin*

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### **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

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### **District Nominating Committee Chair: Mari Buechner**

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#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 20
  - ▶ District Nominating Committee members to be elected to terms expiring May 31, 2010: 5  
Total Number of Candidates Considered: 6
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#### **District Committee Nominees for Terms Expiring May 31, 2012**

Timothy P. Byrnes	Morgan Stanley & Co. Incorporated	Barrington, IL
Anthony C. LaRosa	JJB Hilliard WL Lyons, LLC	Indianapolis, IN
Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL

#### **Alternate Candidate**

Jeffrey V. Gery	NRP Financial, Inc.	Bryan, OH
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

Richard M. Arceci	ValMark Securities, Inc.	Akron, OH
Stephen F. Anderson	Waterstone Financial Group, Inc.	Itasca, IL
Eric A. Bederman	Bernardi Securities, Inc.	Chicago, IL
Thomas M. McDonald	Thomas McDonald Partners, LLC	Cleveland, OH
Barbara A. Turner	The O.N. Equity Sales Co.	Cincinnati, OH

## District 9

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

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### **Gary K. Liebowitz, Senior Vice President and Regional Director, North Region**

581 Main Street, 7th Floor, Woodbridge, NJ 07095 (732) 596-2025  
(732) 596-2001 fax

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

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### **Robert B. Kaplan, Vice President and District Director**

1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-1992  
(215) 963-7442 fax

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### **District Nominating Committee Chair: A. Louis Denton**

#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
District Committee member to be elected to term expiring May 31, 2011: 1  
Total Number of Candidates Considered: 21
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 7

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#### **District Committee Nominees for Terms Expiring May 31, 2012**

Irene A. Feeley	Capital Analysts, Incorporated	Horsham, PA
Mark Gomez	NYLife Distributors, LLC	Parsippany, NJ
Michael K. Kauffelt, II	Bill Few Associates, Inc.	Pittsburgh, PA

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#### **District Committee Nominee for Term Expiring May 31, 2011**

Kenneth I. Schindler	Prudential Investment Management Services, LLC	Newark, NJ
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#### **Alternate Candidate**

David S. Berkowitz	Lincoln Financial Advisors	Philadelphia, PA
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

Michael T. Corrao	Knight Equity Markets, LP	Jersey City, NJ
John M. Ivan	Janney Montgomery Scott, LLC	Philadelphia, PA
W. Dean Karrash	Burke, Lawton, Brewer & Burke, LLC	Ambler, PA
John P. Meegan	Hefren-Tillotson, Inc.	Pittsburgh, PA
Thomas T. Wallace	Johnston, Lemon & Co., Inc.	Washington, DC

## District 10

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

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

One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006 (212) 858-4180  
(212) 858-4078 fax

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### District Nominating Committee Chair: Judith R. MacDonald

#### Positions Being Filled in This Election:

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 4  
District Committee member to be elected to term expiring May 31, 2011: 1  
Total Number of Candidates Considered: 6
- ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 6

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#### District Committee Nominees for Terms Expiring May 31, 2012

Evan Charkes	Citigroup Global Markets, Inc.	New York, NY
Craig B. Jampol	Sterne, Agee & Leach, Inc.	New York, NY
Paul C. McClung	NYLIFE Securities LLC	New York, NY
David V. Shields	Shields & Company	New York, NY

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#### District Committee Nominee for Term Expiring May 31, 2011

Robin A. Oliver	Raymond James Financial Services, Inc.	New York, NY
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#### District Nominating Committee Nominees for Terms Expiring May 31, 2010

Clifford H. Goldman	Marco Polo Securities, Inc.	New York, NY
Raymond C. Holland, Sr.	Triad Securities Corp.	New York, NY
Allen Meyer	Credit Suisse First Boston LLC	New York, NY
Howard Spindel	Integrated Management Solutions	New York, NY
Tom M. Wirtshafter	American Portfolio Financial Services, Inc.	Holbrook, NY

#### Alternate Candidate

Jennifer A. Connors	E*Trade Securities LLC	New York, NY
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## District 11

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

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### **Elizabeth F. Page, District Director**

99 High Street, Suite 900, Boston, MA 02110

(617) 532-3401  
(617) 451-3524 fax

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### **District Nominating Committee Chair: Thomas J. Horack**

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#### **Positions Being Filled in This Election:**

- ▶ District Committee members to be elected to terms expiring May 31, 2012: 3  
Total Number of Candidates Considered: 19
  - ▶ District Nominating Committee members to be elected to terms expiring  
May 31, 2010: 5  
Total Number of Candidates Considered: 6
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#### **District Committee Nominees for Terms Expiring May 31, 2012**

Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
John A. Vaccaro	MML Investors Services, Inc.	Springfield, MA
Edward J. Wiles, Jr.	Genworth Financial Securities Corp.	Stamford, CT

#### **Alternate Candidate**

James D. McCarron	U.S. Wealth Advisors, LLC	Braintree, MA
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#### **District Nominating Committee Nominees for Terms Expiring May 31, 2010**

Martin W. Courage	J.P. Morgan Securities, Inc.	Boston, MA
John I. Fitzgerald	Leerink Swann, LLC	Boston, MA
Joseph J. Gritzer, Jr.	USI Securities, Inc.	Glastonbury, CT
Moira C. Lowe	Sun Life Financial Distributors, Inc.	Wellesley Hills, MA
Robert J. Reilly	Barclays Capital, Inc.	Boston, MA