

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 available online at www.finra.org/Notices/Election/121109 and as Attachment C of this *Notice*.

Note: This *Notice* was distributed electronically only to the Executive Representative of each FINRA member firm and it is posted on FINRA's Web site. Executive Representatives should circulate this *Notice* to their firm's branch managers.

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

- The appropriate District Director;
- Marcia Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949 or via email to CorporateSecretary@finra.org.

December 11, 2009

Suggested Routing

- Branch Managers
- Executive Representatives
- Senior Management

Background

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

- ▶ alerting FINRA to industry trends that could present regulatory concerns;
- ▶ consulting with FINRA on proposed policies and rule changes; and
- ▶ serving on disciplinary panels in accordance with FINRA rules.

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;
- ▶ educating firms in their District on the responsibilities of FINRA;
- ▶ attending regularly and participating in a collegial manner in District Committee meetings; and
- ▶ remaining objective and unbiased in the performance of District Committee matters.

Committee members must also adhere to the following prohibitions and restrictions:

- ▶ 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
- ▶ keeping sensitive, non-public or proprietary information confidential.

Vacancies and Terms

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

The three-year terms for District Committee members and one-year terms for District Nominating Committee members rotate on a June 1 to May 31 annual cycle. Terms of the individuals elected during this election will begin on June 1, 2010.²

Nomination Process

Individuals from 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 form³ and submit it by email, facsimile, mail, courier service or hand delivery to the appropriate District Director. Completed candidate profile forms must be received by the District Director on or before **December 31, 2009**. Candidate profile forms received 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 **December 31, 2009**, will be provided to all appropriate District Nominating Committee members for review. FINRA anticipates that on or before **January 29, 2010**, 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 of accurately maintaining their Executive Representative's name and email address information, and their firm's main postal address, in FINRA's records. This will ensure that mailings, such as election information, are 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 any event not later than 15 days following the request, or such longer period that may be agreed to by FINRA staff.⁴

To update an Executive Representative's name and contact information, firms should access the FINRA Contact System (FCS), located on FINRA's Web site at www.finra.org/fcs. For assistance updating FCS, 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 Due to the Consolidation of NASD and the member regulation functions of the New York Stock Exchange during 2007, the District Committee and District Nominating Committee election calendar was delayed by six months.
- 3 A candidate profile form is available online at www.finra.org/Notices/Election/121109 and as Attachment C of this Notice.
- 4 See NASD Rule 1160 and *Regulatory Notice 07-42* (September 2007).

Attachment A—District Committee and District Nominating Committee Lists

Expiring and vacant positions are highlighted.

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

One Montgomery Street, Suite 2100, San Francisco, CA 94104 (415) 217-1100
Christian.Zrull@finra.org fax (415) 956-1931

District Committee for District 1—Chair: James H. Williams

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3
- ▶ Committee member to be elected to a term expiring May 31, 2012: 1
- ▶ Committee member to be elected to a term expiring May 31, 2011: 1

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, Inc.	San Rafael, CA

Committee Members to Serve Until May 31, 2011

Stephen H. Chipman	Foothill Securities, Inc.	Mountain View, CA
Philip J. Economopoulos	Howe Barnes Hoefler & Arnett, Inc.	San Francisco, CA

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Committee Members to Serve Until May 31, 2012

Nancy A. Mullally	Alamo Capital	Walnut Creek, CA
Robert J. Zamecki	Lighthouse Capital Corporation	Monterey, CA

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District Nominating Committee for District 1—Chair: Kevin T. Kitchin

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Kevin T. Kitchin	Wells Fargo Advisors, LLC	San Francisco, CA
Bruce W. Nollenberger	Nollenberger Capital Partners, Inc.	San Francisco, CA
Daniel W. Roberts	Roberts & Ryan Investments Inc.	San Francisco, CA
Francis X. Roche, II	RBC Capital Markets Corporation	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	Santa Rosa, CA

* Christopher Charles of Wulff Hansen & Co. in San Francisco, CA and Douglas C. Heske of Nollenberger Capital Partners, Inc. in San Francisco, CA were appointed to replace resigning Committee members and are currently serving in these positions until elections are held.

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

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

District Committee for District 2—Chair: Craig R. Watanabe

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

Mark S. Stewart	Mark Stewart Securities, Inc.	Lake Forest, CA
Craig R. Watanabe	Penniall & Associates, Inc.	Pasadena, CA
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Committee Members to Serve Until May 31, 2011

Kerry E. Cunningham	ING Financial Partners, Inc.	El Segundo, CA
Donna B. Lawson	First Allied Securities, Inc.	San Diego, CA
Westley H. King	Centaurus Financial, Inc.	Anaheim, CA

Committee Members to Serve Until May 31, 2012

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

District Nominating Committee for District 2—Chair: Valorie A. Seyfert

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

M. LaRae Bakerink	WBB Securities, LLC	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
Valorie A. Seyfert	CUSO Financial Services, LP	San Diego, CA

District 3

Arizona, Colorado, New Mexico, Utah and Wyoming

Joseph M. McCarthy, Senior Vice President and Regional Director (West Region)
 4600 S. Syracuse Street, Suite 1400, Denver, CO 80237 (303) 446-3100
Joseph.McCarthy@finra.org fax (303) 620-9450

Alaska, Idaho, Montana, Oregon and Washington

Michael E. Lewis, District Director
 601 Union Street, Suite 1616, Seattle, WA 98101-2327 (206) 624-0790
Michael.Lewis@finra.org fax (206) 623-2518

District Committee for District 3—Chair: Douglas W. Schriener

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

Chester J. Hebert	Colorado Financial Service Corporation	Centennial, CO
Steven S. Iversen	NEXT Financial Group, Inc.	Albuquerque, NM
Douglas W. Schriener	Harrison Douglas, Inc.	Aurora, CO

Committee Members to Serve Until May 31, 2011

James R. Cannon	United Planners Financial Service	Scottsdale, AZ
Adam M. Carmel	Larimer Capital Corporation	Denver, CO
Paige W. Pierce	RW Smith & Associates, Inc.	Sandy, UT

Committee Members to Serve Until May 31, 2012

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

District Nominating Committee for District 3—Chair: Russell R. Diachok

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Louis H. 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 Corporation	Roseburg, OR
Harry L. Striplin	Umpqua Investments Inc.	Portland, OR

District 4

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

Thomas D. Clough, Associate Vice President and District Director

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

Tom.Clough@finra.org

(816) 421-5700

(816) 421-5029

District Committee for District 4—Chair: Richard D. Link

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

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

Committee Members to Serve Until 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

Committee Members to Serve Until May 31, 2012

Dana Bjornson	George K. Baum & Company	Kansas City, MO
Jennifer Relien	Woodbury Financial Services, Inc.	Woodbury, MN
Amy Webber	Cambridge Investment Research, Inc.	Fairfield, IA

District Nominating Committee for District 4—Chair: Patricia Bartholomew

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Patricia Bartholomew	Craig-Hallum Capital Group, LLC	Minneapolis, MN
Allen J. Moore	SMITH HAYES Financial Services Corporation	Lincoln, NE
Andrew Small	Scottrade, Inc.	St. Louis, MO
Minoo Spellerberg	Principal Global Investments	Des Moines, IA
Pamela Ziermann	Dougherty & Company, LLC	Minneapolis, MN

District 5

Alabama, Arkansas, Louisiana, Mississippi, Oklahoma and Tennessee

Keith E. Hinrichs, District Director

1100 Poydras Street, Energy Centre, Suite 850
New Orleans, LA 70163-0802
Keith.Hinrichs@finra.org

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

District Committee for District 5—Chair: Gary K. Wunderlich, Jr.

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

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

Committee Members to Serve Until May 31, 2011

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

Committee Members to Serve Until May 31, 2012

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

District Nominating Committee for District 5—Chair: J. French Hill

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Philip J. Dorsey	Dorsey & Company, Inc.	New Orleans, LA
J. French Hill	Delta Trust Investments, Inc.	Little Rock, AR
James S. Jones	Crews & Associates, Inc.	Little Rock, AR
Michaela D. Myers	NAFA CapitalMarkets, LLC	Oklahoma City, OK
Jennifer Carty Scola	Carty & Company, Inc.	Memphis, TN

District 6

Texas

Michael G. Rufino, Senior Vice President
 12801 N. Central Expressway, Suite 1050, Dallas, TX 75243 (972) 701-8554
Michael.Rufino@finra.org fax (972) 716-7646

District Committee for District 6—Chair: Fenner R. Weller, Jr.

- Committee members to be elected to terms expiring May 31, 2013: 3
- Committee members to be elected to terms expiring May 31, 2012: 1

Committee Members to Serve Until May 31, 2010

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

Committee Members to Serve Until May 31, 2011

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

Committee Members to Serve Until May 31, 2012

Adan Araujo	First Command Financial Planning, Inc.	Fort Worth, TX
Kelly R. Welker	LPL Financial Corporation	San Antonio, TX

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District Nominating Committee for District 6—Chair: Bryan T. Emerson

- Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

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

District 7

Georgia, North Carolina and South Carolina

Daniel J. Stefek, Associate Vice President and District Director

One Securities Centre (404) 239-6100
Suite 500, 3490 Piedmont Road, NE, Atlanta, GA 30305 fax (404) 237-9290
Daniel.Stefek@finra.org

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

Mitchell C. Atkins, Vice President and District Director

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

District Committee for District 7—Chair: Raymond H. Smith

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

Jed E. Bandes	Mutual Trust Co. of America Securities	Clearwater, FL
Karen Z. Fischer	Hunter Scott Financial, LLC	Delray Beach, FL
John T. Rhett, III	Sun Trust Investment Services, Inc.	Atlanta, GA

Committee Members to Serve Until 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

Committee Members to Serve Until May 31, 2012

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

District Nominating Committee for District 7—Chair: Charles F. O’Kelley

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Susan J. Hechtlinger	Sun Trust Investment Services, Inc.	Atlanta, GA
Landrum H. Henderson, Jr.	Robert W. Baird & Co., Inc.	Charlotte, NC
William G. McMaster	Scott & Stringfellow, Inc.	Columbia, SC
Charles F. O’Kelley	Atlantic Coast Securities Corporation	Tampa, FL
Roark A. Young	Young Stovall and Company	Miami, FL

District 8

Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin

Carla A. Romano, Senior Vice President and Regional Director
 55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052
Carla.Romano@finra.org

Midwest Region
 (312) 899-4400
 fax (312) 899-4399

District Committee for District 8—Chair: Joel R. Blumenschein

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

Joel R. Blumenschein	Freedom Investors Corp.	Brookfield, WI
Thomas A. Bono	David A. Noyes & Company	Oak Park, IL
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Committee Members to Serve Until May 31, 2011

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

Committee Members to Serve Until May 31, 2012

Timothy P. Brynes	Morgan Stanley Smith Barney	Barrington, IL
Anthony C. Larosa	JJB Hillard, W.L. Lyons, LLC	Indianapolis, IN
Joseph R.V. Romano	Romano Brothers & Co.	Evanston, IL

District Nominating Committee for District 8—Chair: Richard M. Arceci

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

Richard M. Arceci	ValMark Securities, Inc.	Akron, OH
Eric A. Bederman	Bernardi Securities, Inc.	Chicago, IL
Thomas M. McDonald	Thomas McDonald Partners, LLC	Cleveland, OH
James Rogers	J.J.B. Hilliard, W.L. Lyons, LLC	Louisville, KY
Barbara A. Turner	The O.N. Equity Sales Company	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)

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

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

Robert B. Kaplan, Vice President and District Director
1835 Market Street, Suite 1900, Philadelphia, PA 19103 (215) 963-1992
Robert.Kaplan@finra.org fax (215) 963-7442

District Committee for District 9—Chair: Timothy L. Smith

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

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

Committee Members to Serve Until May 31, 2011

Nancy L. H. Boyd	Lincoln Investment Planning, Inc.	Wyncote, PA
Sarah McCafferty	T. Rowe Price Investment Services, Inc.	Baltimore, MD
Kenneth I. Schindler	Prudential Investment Management Services LLC	Newark, NJ

Committee Members to Serve Until May 31, 2012

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

District Nominating Committee for District 9—Chair: John P. Meegan

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

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

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 New York Region
 One Liberty Plaza, 49th Floor, 165 Broadway, New York, NY 10006 (212) 858-4000
Hans.Reich@finra.org fax (212) 858-4078

District Committee for District 10—Chair: James D. Lamke

- Committee members to be elected to terms expiring May 31, 2013: 4
- Committee members to be elected to terms expiring May 31, 2012: 2

Committee Members to Serve Until May 31, 2010

James A. Brodie	Tocqueville Securities L.P.	New York, NY
Kathryn G. Casparian	CIBC World Markets Corp.	New York, NY
Paul S. Ehrenstein	Zenith American Securities Corp.	New York, NY
James D. Lamke	Sanford C. Bernstein & Co., LLC	New York, NY

Committee Members to Serve Until May 31, 2011

Eric L. Kriftcher	Banc of America Securities LLC	New York, NY
Robin A. Oliver	Raymond James Financial Services, Inc.	New York, NY
Thomas J. Santucci	Royal Alliance Associates, Inc.	Garden City, NY
David M. Sobel	Abel/Noser Corp.	New York, NY

Committee Members to Serve Until May 31, 2012

Craig B. Jampol	Sterne, Agee & Leach, Inc.	New York, NY
David V. Shields	Shields & Company	New York, NY

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District Nominating Committee for District 10—Chair: Allen Meyer

- Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until 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. Wirstshafter	American Portfolios Financial Services, Inc.	Holbrook, NY

* Robert Hackel of R.F. Lafferty & Co., Inc. in New York, NY and George Mandl of Mitsubishi UFJ Securities (USA) Inc. in New York, NY were appointed to fill two vacancies and are currently serving in these positions until elections are held.

District 11

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

Elizabeth F. Page, District Director

99 High Street, Suite 900, Boston MA 02110
 Elizabeth.Page@finra.org

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

District Committee for District 11—Chair: Tina Blakely Maloney

- ▶ Committee members to be elected to terms expiring May 31, 2013: 3

Committee Members to Serve Until May 31, 2010

Michael E. Callaghan	Harvest Capital LLC	Wethersfield, CT
David J. Freniere	LPL Financial Corporation	Boston, MA
Tina Blakeley Maloney	Winslow, Evans & Crocker	Boston, MA

Committee Members to Serve Until 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

Committee Members to Serve Until May 31, 2012

Michael J. Mahoney	John Hancock Funds, LLC	Boston, MA
J. Dennis McCarron	Lincoln Financial Securities Corporation	Braintree, MA
John A. Vaccaro	MML Investors Services, Inc.	Springfield, MA

District Nominating Committee for District 11—Chair: Joseph Gritzer

- ▶ Committee members to be elected to terms expiring May 31, 2011: 5

Committee Members to Serve Until May 31, 2010

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

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, 2010. 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. This email will note that failure to keep this information accurate may jeopardize the member's ability to participate in the district elections, as well as in other member votes.
4. FINRA will send an *Election Notice* announcing the forthcoming elections to all member firms and the Executive Representative of all FINRA 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 **December 31, 2009**. Candidate profile forms received after this date will not be considered.
5. Completed candidate profile forms received by the District Director on or before **December 31, 2009**, 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 and 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 **January 29, 2010**, 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 12, 2009**, 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—Candidate Profile Form

Please complete all sections and print your responses. An electronic version of this candidate profile form also is available at www.finra.org/notices/election/121109.

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 Registrations (*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*)

- | | |
|--|--|
| <input type="checkbox"/> Compliance/Legal | <input type="checkbox"/> Retail Sales |
| <input type="checkbox"/> Corporate Finance | <input type="checkbox"/> Trading/Market Making |
| <input type="checkbox"/> Financial/Operational | <input type="checkbox"/> Other |
| <input type="checkbox"/> Institutional Sales | |
| <input type="checkbox"/> Investment Advisory | |

Product Expertise
(*please check all that apply*)

- | | |
|--|--|
| <input type="checkbox"/> Corporate Bonds | <input type="checkbox"/> Investment Company |
| <input type="checkbox"/> Direct Participation Programs | <input type="checkbox"/> Options |
| <input type="checkbox"/> Equity Securities | <input type="checkbox"/> Variable Contracts Securities |
| <input type="checkbox"/> Municipal/Government Securities | <input type="checkbox"/> Other |

Memberships/Positions in Trade or Business Organizations

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

- | | |
|---|----------------------|
| <input type="checkbox"/> Committee Member
(<i>Identify committee</i>): _____ | Approx. Dates: _____ |
| <input type="checkbox"/> Arbitrator | Approx. Dates: _____ |
| <input type="checkbox"/> Mediator | Approx. Dates: _____ |
| <input type="checkbox"/> Expert Witness (<i>arbitrations; disciplinary proceedings</i>) | Approx. Dates: _____ |
| <input type="checkbox"/> Other: _____ | Approx. Dates: _____ |

Educational Background

School: _____ Degree: _____

School: _____ Degree: _____

Return completed candidate profile forms to the appropriate District Director on or before December 31, 2009.