

Election Notice

Small Firm Advisory Board Runoff Election

Ballot Due Date: December 16, 2013

The recent FINRA election to elect a New York Region¹ member of the Small Firm Advisory Board (SFAB) resulted in a tie². FINRA must therefore hold a runoff election for eligible small firm members in the New York region to select their SFAB representative.

The candidates in the runoff election are:

- ▶ Myles Edwards – Chief Compliance Officer & General Counsel, Constellation Wealth Advisors LLC
- ▶ Steve Hart – Chief Compliance Officer, Robotti & Company, LLC

Additional information about each candidate is available at www.finra.org/Industry/SmallFirms/P391524.

Voting Eligibility

FINRA small firm members who were eligible to vote in the New York Region election will receive another ballot to vote in the runoff election.³ **FINRA's election agent will email ballots to the executive representatives of small firm members in the New York region later today.** Firms may vote for only one candidate listed on the ballot.

The successful candidate will be the individual who receives the most votes and will be elected to serve a three-year term beginning in January 2014.

November 25, 2013

Suggested Routing

- ▶ Executive Representatives

Voting Methods

In this runoff election, firms will be able to vote by telephone and the Internet only. The ballot emailed to eligible small firms will contain detailed instructions on the submission procedures.

Voting concludes on Monday, December 16, 2013. Eligible firms are urged to vote in the election.

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

- ▶ Marcia E. Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949;
- ▶ Jennifer Piorko Mitchell, Assistant Corporate Secretary, at (202) 278-8949; or
- ▶ Chip Jones, Senior Vice President, Member Relations, at (240) 386-4797.

Additional information about the SFAB Election is available at www.finra.org/sfab.

Endnotes

1. The New York Region comprises the New York counties of Nassau and Suffolk, and the five boroughs of New York City. (District 10)
2. Any senior member of a small firm whose primary place of business and whose firm has its main office (as indicated in FINRA records) in the New York Region was eligible to have his or her name placed on the ballot in this election. Four candidates were initially certified by the Corporate Secretary for the election that concluded on November 15, 2013.
3. FINRA small firms are eligible to vote for candidates running for the SFAB seat representing the region corresponding to the district to which they are assigned in the Central Registration Depository®.