

Attachment B

Candidate Profile Form— District Committee Election

Please complete all sections on both pages and email this document to CorporateSecretary@finra.org. Please note the second page will be made available publicly on our website. An electronic version of this form is also available at www.finra.org/notices/DistrictElection/090314.

Name: _____ Date: _____

(As you would like it to appear on official correspondence)

Current Registration

Title/Primary Responsibility: _____ Firm Name: _____

Firm CRD#: _____ Individual CRD#: _____

FINRA District No.: _____ Number of Registered Reps. at Firm: _____

Address

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

District Committee Seat Sought

- Small Firm (150 or fewer registered representatives)
- Mid-Size Firm (151 to 499 registered representatives)
- Large Firm (500 or more registered representatives)

Eligibility (Check all that apply)

- Associated with FINRA member firm eligible to vote in the district for District Committee elections
- Work primarily from FINRA member firm's principal or branch office in the district of the District Committee sought
- Position

Registered as

- branch manager
- principal
- Denoted as a corporate officer of the FINRA member firm

INSTRUCTIONS FOR PAGE 2

The information on the following page will be displayed on FINRA's District Committee election Web page as submitted. Please carefully review the information before submission.

Provide a brief biography or summary of your qualifications to serve on the District Committee. You may want to consider including your employment experience, service on other industry-related boards and committees, etc. You may also include a statement of why you are running for a seat on the District Committee and why firms should vote for you to represent them on the committee. (No more than 500 words.)

Candidate Profile — District Committee Election

Candidate Name: _____

Title: _____

Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____