

Attachment A: Candidate Nomination and Profile Form—SFAB 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/SFABElection/090817.

Current Registration

Name: _____ Individual CRD # _____
(As you would like it to appear on official correspondence)

Firm Name: _____ Firm CRD#: _____

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

Title/Primary Responsibility: _____

Address

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

SFAB Seat Sought

- Midwest Region**—Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin (Districts 4 and 8)
- North Region**—Connecticut, Delaware, the District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City), Pennsylvania, Rhode Island, Vermont, Virginia and West Virginia (Districts 9 and 11)
- South Region**—Alabama, Arkansas, Florida, Georgia, Louisiana, Mississippi, North Carolina, Oklahoma, Puerto Rico, Panama, South Carolina, Tennessee, Texas, and the Virgin Islands (Districts 5, 6 and 7)

Eligibility Checklist (must meet all three)

1. Senior member of a small firm.
 - Senior members include owners, chief executive officers, presidents, chief compliance officers, chief operating officers, the firm’s FINOP or individuals of comparable status.
2. Firm’s main office is in the North, South or Midwest Region.
 - Location of firm’s main office: _____
3. Your primary place of business is in the same region as the firm’s main office.

INSTRUCTIONS FOR PAGE 2 | The information on the following page will be displayed on FINRA’s election website as submitted. Please carefully review the information before submission.

Provide a brief biography or summary of your qualifications to serve as an SFAB member. You may want to consider including your employment experience, service on other industry-related boards and committees, etc. Provide a statement of why you are running for an SFAB seat and why firms should vote for you. (No more than 500 words.)

Candidate Profile Form — SFAB Election

Candidate Name: _____

Title: _____ Firm: _____

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____