

Attachment A

Candidate Profile Form—National Adjudicatory Council Election Election for a Small Firm NAC Member

Please complete all sections and submit this document to CorporateSecretary@finra.org.

Name: _____ Date: _____
(As you would like it to appear on official correspondence)

Current Registration

Title/Primary Responsibility: _____

Firm Name: _____

Firm CRD#: _____ Individual CRD#: _____

Number of Registered Reps. at Firm: _____

Contact Information

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

Provide a brief biography or summary of your qualifications to serve as a NAC 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 a NAC seat and why firms should vote for you. (No more than 500 words.)

Important: Carefully review the information you entered before you submit the form. Once you submit the form, you will not be able to edit the information you provided. If you want a copy for your records, use your browser's print button to print a copy **prior to submitting the form.**