

# Attachment A

## Candidate Profile Form — SFAB Election

Please complete all sections on both pages and email this document to [CorporateSecretary@finra.org](mailto: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/090215](http://www.finra.org/notices/SFABElection/090215).

### 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

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)

West Region

- ▶ Alaska, Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, Oregon, Utah, Washington, Wyoming and the former U.S. Trust Territories (Districts 1, 2 and 3)

### 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 Region or West 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 next 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: \_\_\_\_\_