

## Attachment C—District Election Candidate Profile Form

Indicate the position for which you wish to be considered:

District Committee OR  District Nominating Committee

For which District: \_\_\_\_\_

### Current Registration

Name: \_\_\_\_\_ CRD#: \_\_\_\_\_

Firm Name: \_\_\_\_\_ Firm#: \_\_\_\_\_

Title/Primary Responsibility: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

**Prior Registration** (*List the most recent first. Feel free to include extra pages if necessary.*)

Firm: \_\_\_\_\_

Title/Primary Responsibility: \_\_\_\_\_

Firm: \_\_\_\_\_

Title/Primary Responsibility: \_\_\_\_\_

### General Areas of Expertise (please check all that apply)

- |  |  |
|--|--|
| <input type="checkbox"/> Compliance/Legal      | <input type="checkbox"/> Retail Sales              |
| <input type="checkbox"/> Corporate Finance     | <input type="checkbox"/> Trading/<br>Market Making |
| <input type="checkbox"/> Financial/Operational | <input type="checkbox"/> Other                     |
| <input type="checkbox"/> Institutional Sales   |  |
| <input type="checkbox"/> Investment Advisory   |  |

### Product Expertise (please check all that apply)

- |  |  |
|--|--|
| <input type="checkbox"/> Corporate Bonds                     | <input type="checkbox"/> Investment Company            |
| <input type="checkbox"/> Direct Participation Programs       | <input type="checkbox"/> Options                       |
| <input type="checkbox"/> Equity Securities                   | <input type="checkbox"/> Variable Contracts Securities |
| <input type="checkbox"/> Municipal/<br>Government Securities | <input type="checkbox"/> Other                         |

### Memberships/Positions in Trade or Business Organizations

\_\_\_\_\_  
\_\_\_\_\_

### Past NASD or FINRA Experience and Dates of Service (please check all that apply)

- |   |                      |
|---|----------------------|
| <input type="checkbox"/> Committee Member<br>( <i>identify committee</i> ):               | Approx. Dates: _____ |
| <input type="checkbox"/> Arbitrator   | Approx. Dates: _____ |
| <input type="checkbox"/> Mediator   | Approx. Dates: _____ |
| <input type="checkbox"/> Expert Witness ( <i>arbitrations; disciplinary proceedings</i> ) | Approx. Dates: _____ |
| <input type="checkbox"/> Other:   | Approx. Dates: _____ |

### Educational Background

School: \_\_\_\_\_ Degree: \_\_\_\_\_

School: \_\_\_\_\_ Degree: \_\_\_\_\_

Return completed candidate profile forms to the appropriate District Director on or before January 16, 2009.