

Candidate Nomination and Profile Form—Regional 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.

Eligibility Criteria *(must meet all criteria)*

- Associated with a FINRA member headquartered in the district they are seeking to represent on the Regional Committee
- Registered in the capacity of a branch manager or principal or denoted as a corporate officer of the FINRA member

Name: _____ Individual CRD#: _____

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

Current Registration

Title _____

Firm Name: _____ Firm CRD#: _____

Address

Street Address: _____ Suite/Floor: _____

City: _____ State: _____

Email: _____

Phone: _____

Regional Committee Seat Sought

Select only one of the seats listed below.

Midwest Region Committee:

- District 4 Representative
- District 8 Representative

New York Region Committee:

- District 10 Representative

North Region Committee:

- District 9 Representative
- District 11 Representative

South Region Committee:

- District 5 Representative
- District 6 Representative
- District 7 Representative

West Region Committee:

- District 1 Representative
- District 2 Representative
- District 3 Representative

INSTRUCTIONS FOR PAGE 2

The information on the following page will be displayed on FINRA's Regional 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 Regional Committee. 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 seat on the Regional Committee and why firms should vote for you. (No more than 500 words.)

Candidate Profile Form—Regional Committee Election *(this page will be displayed on finra.org)*

Candidate Name: _____

Title: _____ Firm: _____

Candidate Biography and Personal Statement *(500 word limit)*

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____