

## ATTACHMENT A

### Candidate Nomination and Profile Form—SFAC 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/SFACElection/091123](http://www.finra.org/notices/SFACElection/091123).

#### 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: \_\_\_\_\_

#### SFAC Seat Sought

- **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)
- **Midwest Region** – Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota and Wisconsin (Districts 4 and 8)

#### Eligibility Criteria (must meet all three)

- 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.
- Firm's main office is in the South or Midwest Region.
- 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 SFAC 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 SFAC seat and why firms should vote for you. (No more than 500 words.)

## Candidate Profile Form—SFAC Election

Candidate Name: \_\_\_\_\_

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

### Candidate Biography and Personal Statement

#### Optional Links:

Link to personal website, resume or CV: \_\_\_\_\_

Link to YouTube video: \_\_\_\_\_