

Election Notice

District Elections and Ballots

Notice of FINRA District Committee Election and Ballots

Executive Summary

The purpose of this *Notice* is to inform firms of the upcoming election to fill vacancies on the FINRA District Committees and distribute ballots to the firms eligible to vote in this election. Firms that are members of FINRA as of the close of business on Tuesday, October 18, 2011, are eligible to vote for the seat corresponding to their district and firm size.

Firms are urged to vote in this election using one of the methods described in this *Notice*. In order for a ballot to be considered valid, the executive representative of the firm eligible to vote in the election must sign it. Ballots are due by Friday, November 18, 2011.

The candidates running for election are listed in Attachment A to this *Notice*. Information about each candidate is available at www.finra.org/notices/DistrictElection/101911.

The elected committee members will take office in January 2012.

A list of the current District Committee members is available at www.finra.org/districtcommittees.

Note: This *Notice* was distributed electronically to the executive representative of each FINRA member firm and is posted on FINRA's website.

Questions concerning this *Election Notice* may be directed to:

- ▶ Marcia Asquith, Senior Vice President and Corporate Secretary, at (202) 728-8949, or via email to CorporateSecretary@finra.org; or
- ▶ Chip Jones, Senior Vice President, Member Relations, at (240) 386-4797, or via email to chip.jones@finra.org.

October 19, 2011

Suggested Routing

- ▶ Executive Representatives
- ▶ Senior Management



District 7: *Georgia, North Carolina and South Carolina, Florida, Puerto Rico, Panama and the Virgin Islands*

Small Firm Representative Candidate

- Jim R. Webb, President/CEO, Cape Securities Inc.

Mid-Size Firm Representative Candidates

- Richard K. Bryant, President & CEO, Capital Investment Group, Inc.
- Beth E. Burns, Director of Compliance, Synovus Securities, Inc.
- Fred G. Fram, Executive Vice President, Compliance and Operations, Summit Brokerage Services
- Brian Kovack, Esq., President, Kovack Securities, Inc.

Large Firm Representative Candidates

- Michael Higgins, Complex Manager, Morgan Stanley Smith Barney
- Ken Muraoka, Senior Vice President, Compliance, Advisor Group/FSC Securities

District 8: *Illinois, Indiana, Kentucky, Michigan, Ohio and Wisconsin*

Small Firm Representative Candidates

- Gina Bokios, Senior Vice President and General Counsel, Regal Securities, Inc.
- Joseph Novak, Esq., CAO, Incapital LLC
- J. Lawrence Taunt, President, Regulus Advisors LLC

Mid-Size Firm Representative Candidate

- Lynn Goebel, Chief Compliance Officer, ValMark Securities, Inc.

Large Firm Representative Candidates

- Erwin J. Dugasz, Jr., Managing Counsel, Nationwide Investment Services Corporation
- Robert Samson, Market Manager, Wells Fargo Advisors, LLC
- Norman R. Sherman, Chief Compliance Officer, Horace Mann Investors, Inc.
- Enrique M. Vasquez, President and CEO, Genworth Financial Securities Corp.

Therefore, in accordance with the by-laws, FINRA will not distribute ballots for these positions and individuals will be appointed to fill those slots.⁶ The committee members will be announced once the appointments have been made.

Ballots will be distributed for the following seats:

- ▶ District 1 Large Firm Representative
- ▶ District 2 Mid-Size Firm Representative
- ▶ District 2 Large Firm Representative
- ▶ District 3 Small Firm Representative
- ▶ District 3 Large Firm Representative
- ▶ District 4 Small Firm Representative
- ▶ District 4 Large Firm Representative
- ▶ District 5 Small Firm Representative
- ▶ District 5 Large Firm Representative
- ▶ District 6 Small Firm Representative
- ▶ District 6 Large Firm Representative
- ▶ District 7 Mid-Size Firm Representative
- ▶ District 7 Large Firm Representative
- ▶ District 8 Small Firm Representative
- ▶ District 8 Large Firm Representative
- ▶ District 9 Small Firm Representative
- ▶ District 9 Large Firm Representative
- ▶ District 10 Large Firm Representative
- ▶ District 11 Small Firm Representative
- ▶ District 11 Large Firm Representative