

# Special Notice to Members

NOVEMBER 2005

## SUGGESTED ROUTING

Legal & Compliance  
Operations  
Registration  
Senior Management

## KEY TOPICS

District Elections

INFORMATIONAL

## District Elections

NASD Announces Election Results for District Committees and District Nominating Committees

### Executive Summary

Through this *Notice*, NASD announces the election results for the District Committees and the District Nominating Committees. The candidates nominated to the District Committees have been duly elected in all districts with the exception of District 7, which will have a contested election to determine the members of its District Committee. The candidates nominated to the District Nominating Committees have been duly elected in all districts. The newly elected District Committee members will serve until January 2009,<sup>1</sup> and the newly elected District Nominating Committee members will serve until January 2007.

In District 7, an additional candidate has satisfied the requirements of Article VIII of the NASD Regulation By-Laws to contest the District Committee election. The outcome of this contested election will be announced in a *Notice* issued in January 2006.

The members of the incoming District Committees and the District Nominating Committees are included in Attachment A.

### Questions/Further Information

Questions concerning this *Notice* may be directed to the District Director noted or to Barbara Z. Sweeney, Senior Vice President and Corporate Secretary, NASD, at (202) 728-8062 or via email at [barbara.sweeney@nasd.com](mailto:barbara.sweeney@nasd.com).

### Endnote

<sup>1</sup> Some District Committee members were elected to fill existing vacancies and therefore may serve less than a three-year term, as indicated on Attachment A.

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## ATTACHMENT A

### District Committees and District Nominating Committees – 2006 Incoming Members

#### District 1

##### **Elisabeth P. Owens, Regional Director**

525 Market Street, Suite 300, San Francisco, CA 94105-2711

(415) 882-1200

*Northern California (the counties of Monterey, San Benito, Fresno, and Inyo, and the remainder of the state north or west of such counties), northern Nevada (the counties of Esmeralda and Nye, and the remainder of the state north or west of such counties), and Hawaii*

##### **District 1 Committee Incoming Members**

Christopher D. Charles	Wulff, Hansen & Company	San Francisco, CA
Kevin T. Kitchin	Wachovia Securities, LLC	San Francisco, CA
Edward M. Stephens	FSC Securities Corporation	Santa Rosa, CA

##### **District 1 Nominating Committee Incoming Members**

S. Katherine Campbell	Protected Investors of America	Berkeley, CA
Nicholas C. Cochran	American Investors Company	San Ramon, CA
Gerard P. Gloisten	GBS Financial Corporation	Santa Rosa, CA
Robert A. Muh	Sutter Securities, Inc.	San Francisco, CA
Francis X. Roche, II	RBC Dain Rauscher, Inc.	San Francisco, CA

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## District 2

### **Lani M. Sen Woltmann, District Director**

300 South Grand Avenue, Suite 1600, Los Angeles, CA 90071

(213) 229-2300

*Southern California (that part of the state south or east of the counties of Monterey, San Benito, Fresno, and Inyo), southern Nevada (that part of the state south or east of the counties of Esmeralda and Nye), and the former U.S. Trust Territories*

### **District 2 Committee Incoming Members**

Steven K. Klein	Farmers Financial Solutions, LLC	Simi Valley , CA
Ismael Manzanares, Jr.	WFP Securities	San Diego, CA
Gary A. Martino	brokersXpress, LLC	Thousand Oaks, CA

### **District 2 Nominating Committee Incoming Members**

M. LaRae Bakerink	WBB Securities, LLC	San Diego, CA
James E. Biddle	The Securities Center, Inc.	Chula Vista, CA
Don Dalis	UBS Financial Services, Inc.	Newport Beach, CA
Barbara A. Kelley	Pacific Global Fund Distributors, Inc.	Glendale, CA
Joel H. Ravitz	Quincy Cass Associates	Los Angeles, CA

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## District 3

### **Joseph M. McCarthy, District Director**

370 17th Street, Suite 2900, Denver, CO 80202-5629

(303) 446-3100

*Arizona, Colorado, New Mexico, Utah, and Wyoming*

### **James G. Dawson, District Director**

Two Union Square, 601 Union Street, Suite 1616, Seattle, WA 98101-2327

(206) 624-0790

*Alaska, Idaho, Montana, Oregon, and Washington*

### **District 3 Committee Incoming Members**

David Director	McAdams Wright Ragen, Inc.	Seattle, WA
Daniel Lind	Wells Fargo Investments	Tucson, AZ
Stephen Youhn	M Holdings Securities, Inc.	Portland, OR

### **District 3 Nominating Committee Incoming Members**

Gregory R. Anderson	MCL Financial Group, Inc.	Denver, CO
L. Hoyt DeMers	Wells Fargo Investments, LLC	Seattle, WA
Bridget Gaughan	AIG Financial Advisors, Inc.	Phoenix, AZ
John Goodwin	Goodwin Browning & Luna Securities, Inc.	Albuquerque, NM
C. Fredrick Roed	McAdams Wright Ragen, Inc.	Bellevue, WA

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## District 4

### **Thomas D. Clough, District Director**

120 West 12th Street, Suite 900, Kansas City, MO 64105

(816) 421-5700

*Iowa, Kansas, Minnesota, Missouri, Nebraska, North Dakota, and South Dakota*

### **District 4 Committee Incoming Members**

Steven F. McWhorter	Securities America, Inc.	Omaha, NE
Arthur S. Montgomery <sup>1</sup>	Walnut Street Securities, Inc.	St. Louis, MO
Brian D. Murphy	Woodbury Financial Services, Inc.	Woodbury, MN
Andrew C. Small	Scottrade, Inc.	St. Louis, MO

### **District 4 Nominating Committee Incoming Members**

Deborah M. Castiglioni	Cutter & Company, Inc	Chesterfield, MO
Robert M. Chambers	A.G. Edwards & Sons, Inc.	West Des Moines, IA
Frank H. Kirk	Wachovia Securities, LLC	Kansas City, MO
Kevin P. Maas	PrimeVest Financial Services, Inc.	St. Cloud, MN
Jeffrey A. Schuh	Residential Funding Securities Corp.	Minneapolis, MN

<sup>1</sup> Mr. Montgomery has been elected to serve the remaining year of the term of Richard M. Hurwitz, who resigned from the District Committee.

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## District 5

### **Warren A. Butler, Jr., Regional Director**

1100 Poydras Street, Energy Centre, Suite 850, New Orleans, LA 70163-0802<sup>2</sup>

(504) 522-6527

*Alabama, Arkansas, Louisiana, Mississippi, Oklahoma, and Tennessee*

### **District 5 Committee Incoming Members**

Curtis F. Bradbury, Jr.	Stephens Inc.	Little Rock, AR
William A. Geary	Morgan Keegan & Company, Inc.	Jackson, MS
Jefferson G. Parker	Howard Weil Incorporated	New Orleans, LA

### **District 5 Nominating Committee Incoming Members**

John J. Dardis	Jack Dardis & Associates, Ltd.	Metairie, LA
Carolyn R. May	Simmons First Investment Group, Inc.	Little Rock, AR
Douglas W. McQueen	The Baker Group, LP	Oklahoma City, OK
LeRoy H. Paris, II	InvestLinc Securities, L.L.C.	Jackson, MS
David W. Wiley, III	Wiley Bros., Aintree Capital, L.L.C.	Nashville, TN

<sup>2</sup> Please be advised that due to Hurricane Katrina, NASD's District 5 Office in New Orleans is temporarily closed. NASD has established a temporary office at 1125 Highway 43 North, Suites C & D, Picayune, Mississippi 39466. The phone number at this location is (601) 799-4894.

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## District 6

### Virginia F. M. Jans, District Director

12801 N. Central Expressway, Suite 1050, Dallas, TX 75243

(972) 701-8554

Texas

### District 6 Committee Incoming Members

Alan K. Goldfarb	Oakbrook Financial Group, LLC	Dallas, TX
Brent T. Johnson <sup>3</sup>	Multi-Financial Securities Corporation	Houston, TX
John Christopher Melton	Coastal Securities, L.P.	Houston, TX
Ralph E. Poppell	Stanford Group Company	Houston, TX

### District 6 Nominating Committee Incoming Members

William D. Felder	Southwest Securities, Inc.	Dallas, TX
Sennett Kirk, III	Kirk Securities Corporation	Denton, TX
Gary V. Murray	Murray Traff Securities	Tyler, TX
John R. Muschalek	First Southwest Company	Dallas, TX
V. Keith Roberts	Stanford Group Company	Houston, TX

<sup>3</sup> Mr. Johnson has been elected to serve the remaining year of the term of Darryl W. Traweek, who resigned from the District Committee.

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## District 7

### **Daniel J. Stefak, District Director**

One Securities Centre, Suite 500, 3490 Piedmont Road, NE, Atlanta, GA 30305

(404) 239-6100

*Georgia, North Carolina, and South Carolina*

### **Mitchell C. Atkins, District Director**

2500 N. Military Trail, Suite 302, Boca Raton, FL 33431

(561) 443-8000

*Florida, Puerto Rico, the Canal Zone, and the Virgin Islands*

### **District 7 Committee Incoming Members**

To be Announced

### **District 7 Nominating Committee Incoming Members**

Richard G. Averitt, III	Raymond James Financial Services, Inc.	St. Petersburg, FL
Joseph B. Gruber	FSC Securities Corporation	Atlanta, GA
Dennis S. Kaminski	Mutual Service Corporation	West Palm Beach, FL
James A. Klotz	FMSBonds, Inc.	North Miami Beach, FL
Ruark A. Young	Young, Stovall & Company	Miami, FL

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## District 8

### **Carlotta A. Romano, Regional Director**

55 West Monroe Street, Suite 2700, Chicago, IL 60603-5052

(312) 899-4400

*Illinois, Indiana, Kentucky, Michigan, Ohio, and Wisconsin*

### **District 8 Committee Incoming Members**

Stephen F. Anderson	Waterstone Financial Group	Itasca, IL
Eric A. Bederman	Bernardi Securities, Inc.	Chicago, IL
Mari Buechner <sup>4</sup>	Coordinated Capital Securities Inc.	Madison, WI
Barbara A. Turner	The O.N. Equity Sales Company	Cincinnati, OH

### **District 8 Nominating Committee Incoming Members**

George E. Bates	Bates Securities, Inc.	Rockford, IL
Bernard A. Breton	Carillon Investments, Inc.	Cincinnati, OH
Carol P. Foley	Podesta & Company	Chicago, IL
Jill R. Powers	Oberlin Financial Corporation	Bryan, OH
James J. Roth	Pershing LLC	Oak Brook, IL

<sup>4</sup> Ms. Buechner has been elected to serve the remaining year of the term of Lora Rosenbaum, who resigned from the District Committee.

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## District 9

### **Gary K. Liebowitz, Regional Director**

581 Main Street, 7th Floor, Woodbridge, NJ 07095

(732) 596-2000

*New Jersey and New York (except for the counties of Nassau and Suffolk, and the five boroughs of New York City)*

### **John P. Nocella, District Director**

Eleven Penn Center, 1835 Market Street, 19th Floor, Philadelphia, PA 19103

(215) 665-1180

*Delaware, the District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia*

### **District 9 Committee Incoming Members**

Michael T. Corrao <sup>5</sup>	Knight Equity Markets LP	Jersey City, NJ
Wayne F. Holly <sup>6</sup>	Sage Ruddy & Co., Inc.	Rochester, NY
John M. Ivan	Janney Montgomery Scott LLC	Philadelphia, PA
Brand F. Meyer	Wachovia Securities, LLC	Richmond, VA
Thomas T. Wallace	Johnston, Lemon & Co. Incorporated	Washington, DC

### **District 9 Nominating Committee Incoming Members**

Richard Grobman	Oppenheimer & Co. Inc.	Philadelphia, PA
W. Dean Karrash	Burke, Lawton, Brewer & Burke	Spring House, PA
Gregg A. Kidd	Pinnacle Investments Inc.	East Syracuse, NY
Michael S. Mortensen	PNC Investments	Pittsburgh, PA
Michael B. Row	Pershing, LLC	Jersey City, NJ

5 Mr. Corrao has been elected to serve the remaining two years of the term of Dorothy G. Sanders, who resigned from the District Committee.

6 Mr. Holly has been elected to serve the remaining year of the term of Barry M. Cash, who resigned from the District Committee.

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## District 10

### **Hans Reich, Regional Director**

One Liberty Plaza, New York, NY 10006

(212) 858-4000

*New York (the counties of Nassau and Suffolk, and the five boroughs of New York City)*

### **District 10 Committee Incoming Members**

Barry M. Cash	Citigroup Global Markets, Inc.	New York, NY
Joseph DeBellis	Sanford C. Bernstein & Co., LLC	New York, NY
Robyn Jeffrey	Oppenheimer & Co., Inc.	New York, NY
Allen Meyer	Credit Suisse First Boston LLC	New York, NY

### **District 10 Nominating Committee Incoming Members**

Margaret M. Caffrey	Schonfeld & Company, LLC	Jericho, NY
Jennifer A. Connors	Lehman Brothers Inc.	New York, NY
Raymond C. Holland, Jr.	Triad Securities Corp.	New York, NY
Richard J. Paley	Carey Financial Corporation	New York, NY
Mark Ronda	Oppenheimer & Co., Inc.	New York, NY

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## District 11

### **Frederick F. McDonald, District Director**

99 High Street, Suite 900, Boston, MA 02110

(617) 532-3400

*Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont*

### **District 11 Committee Incoming Members**

Martin W. Courage	Bank of America Investment Services	Boston, MA
Todd A. O'Connor	Investors Securities Services, LLC	Boston, MA
Robert J. Reilly	Piper Jaffray & Co.	Boston, MA

### **District 11 Nominating Committee Incoming Members**

Michael C. Braun	Moors & Cabot, Inc.	Boston, MA
Andrew F. Detwiler	Virtua Research, an Affiliate of Vandham Securities Corp.	Boston, MA
Mark R. Hansen	State Street Global Markets, LLC	Boston, MA
Lee G. Kuckro	Advest, Inc.	Hartford, CT
Wilson G. Saville	Barrett & Company	Providence, RI