

Dear 3PM,

Some of you may be aware that FINRA is in the process of holding elections for its Board of Governors. The candidates have been lined up and FINRA will be mailing out ballots on July 12. This year the Third Party Marketers Association (“3PM”) is pleased to announce that one of our members, Lisa Roth of Keystone Capital, has been nominated for one of the small firm seats on the Board.

Some of you may know Lisa. In addition to being a member of 3PM, she is also the Co-Chair of the Membership Committee. Lisa has also spoken at several of our events and participated in the Strategy Committee’s efforts to fight off the SEC’s proposed ban on third party marketers. In addition to these roles, Lisa has been a dedicated advocate for small firms through her work with NAIBD, where she was the President and Chairman and with FINRA as a member of their Small Firm Advisory Board.

For your review, I have included a letter from Lisa about the election which is available by clicking here

<<http://cts.vresp.com/c/?ThirdPartyMarketersA/5f63b33d0b/8acfe4ca56/c5737d703c>>

. Additional information is also available by visiting Lisa’s website at

[www.voiceofsmallbds.com](http://www.voiceofsmallbds.com)

<<http://cts.vresp.com/c/?ThirdPartyMarketersA/5f63b33d0b/8acfe4ca56/b9037df800>>

. Why not visit her page on Facebook: Lisa Roth (Small Firm Advocate)

<[http://cts.vresp.com/c/?ThirdPartyMarketersA/5f63b33d0b/8acfe4ca56/f0ccad4769/post\\_form\\_id=d7aa623709348dee46aacded033d74df&q=lisa+roth&init=quick&ref=search\\_loaded#!/pages/Lisa-Roth-Small-Firm-Advocate/139966402680875?ref=search](http://cts.vresp.com/c/?ThirdPartyMarketersA/5f63b33d0b/8acfe4ca56/f0ccad4769/post_form_id=d7aa623709348dee46aacded033d74df&q=lisa+roth&init=quick&ref=search_loaded#!/pages/Lisa-Roth-Small-Firm-Advocate/139966402680875?ref=search)> ?

Given all of the changes we have faced in the past year the myriad of new ones we are likely to encounter, I cannot think of a better person to speak for our industry, 3PM or our members. As such, I am asking all of you to please cast your ballot for Lisa Roth in the upcoming FINRA elections. If you do not own your own broker-dealer, why not encourage the BD you are affiliated with to vote for Lisa and be sure that we will have a voice in the new FINRA rules that will oversee the activities of placement agents and third party marketers.

**Donna DiMaria**

**3PM Chairman and Chair of the Marketing and Communication Committee**