

Dear Valued FINOP Clients

Liz and I would like to thank all of you for your continued confidence in our role as your financial operations principal. We are proud to be associated with your firms and to assist your firms in producing the required regulatory financial reporting and record keeping.

We are writing you today to ask for your help with an upcoming FINRA Board of Governor election. All of you should have received a ballot from FINRA listing candidates for the three small firm seats up for election. There are three FINRA nominated candidates and three "petition" candidates. For those of you that aren't familiar with this process, FINRA screened and interviewed numerous candidates and then nominated three individuals to fill the three open small firm seats on the Board of Governors. Any other qualified FINRA member can petition to get on the ballot, and this year there are three such petition candidates.

We are writing you today to support all three of the FINRA nominated candidates, but in particular Lisa Roth. We have spent most of our professional life in the securities industry, and have met and worked with hundreds of firms and their representatives. We have never met anyone that has the intelligence, experience, drive and respect of her peers like Lisa. Unlike any other candidate, she will fight for small firm issues with an approach that is both effective and sensible. We have known Lisa for over 10 years, and have served with her on numerous panels and boards. She's the real deal. We urge you to vote for Lisa as the small firm Board of Governors representative.

We also recommend voting no on all the member firm proxy proposals. Should you have any questions on these matters, please feel free to give us a call.

Thanks Everyone.

James H. Williams  
President

Liz Collins  
Chief Operating Officer



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