

Prop 2: Disclosure of Compensation of FINRA's Top Ten Most Highly Compensated Employees

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,757	85.1%	307	14.9%	45	2,109
Mid-Size Firms	78	67.8%	37	32.2%	2	117
Large Firms	51	58.0%	37	42.0%	3	91
Overall	1,886	83.2%	381	16.8%	50	2,317

Prop 3: Independent Study of Officer and/or Director Involvement with the Madoff Family

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,407	70.8%	581	29.2%	121	2,109
Mid-Size Firms	55	50.0%	55	50.0%	7	117
Large Firms	29	34.1%	56	65.9%	6	91
Overall	1,491	68.3%	692	31.7%	134	2,317

Prop 4: Transparency of FINRA Investment Policies, Practices and Transactions

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,590	78.5%	435	21.5%	84	2,109
Mid-Size Firms	68	60.2%	45	39.8%	4	117
Large Firms	37	43.0%	49	57.0%	5	91
Overall	1,695	76.2%	529	23.8%	93	2,317

Prop 5: FINRA Board of Governors Meetings Should Be Made Public

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,604	79.2%	420	20.8%	85	2,109
Mid-Size Firms	64	57.7%	47	42.3%	6	117
Large Firms	34	39.1%	53	60.9%	4	91
Overall	1,702	76.6%	520	23.4%	95	2,317

Prop 6: "Say on Pay" for Top Five Most Highly Compensated FINRA Employees

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,496	74.5%	513	25.5%	100	2,109
Mid-Size Firms	62	54.9%	51	45.1%	4	117
Large Firms	31	35.6%	56	64.4%	4	91
Overall	1,589	71.9%	620	28.1%	108	2,317

Prop 7: Creation and Employment of an Independent Private Sector Inspector General

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,404	70.3%	594	29.7%	111	2,109
Mid-Size Firms	55	49.6%	56	50.5%	6	117
Large Firms	27	30.7%	61	69.3%	3	91
Overall	1,486	67.6%	711	32.4%	120	2,317

Prop 8: Disclosure of IRS Correspondence Concerning \$35,000 NASD Member Payment

	FOR		AGAINST		ABSTAIN	TOTAL
Small Firms	1,396	72.9%	518	27.1%	195	2,109
Mid-Size Firms	54	49.1%	56	50.9%	7	117
Large Firms	25	29.8%	59	70.2%	7	91
Overall	1,475	70.0%	633	30.0%	209	2,317