

# 2000 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Jun 05, 2000 8:00 am**  
**Secretary of State**

06-05-2000 90019 004 \*\*\*\*61.25

**DOCUMENT # F97000006749**

1. Entity Name

**NASD REGULATION, INC.**



DO NOT WRITE IN THIS SPACE

Principal Place of Business 1735 K ST., N.W. WASHINGTON DC 20006	Mailing Address 15201 DIAMONDBACK DRIVE FINANCE DEPT ROCKVILLE MD 20850-3327 US
--	---

2. Principal Place of Business Suite, Apt. #, etc.	3. Mailing Address Suite, Apt. #, etc.
City & State	City & State
Zip	Country

4. FEI Number <b>52-1959501</b>	Applied For <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
5. Certificate of Status Desired <input type="checkbox"/> <b>\$8.75 Additional Fee Required</b>		

6. Name and Address of Current Registered Agent <b>C T CORPORATION SYSTEM 1200 SOUTH PINE ISLAND ROAD PLANTATION FL 33324</b>	7. Name and Address of New Registered Agent Name Street Address (P.O. Box Number is Not Acceptable) City <b>FL</b> Zip Code
--	---

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the state of Florida.

SIGNATURE \_\_\_\_\_ (NOTE: Registered Agent signature required when reinstating) DATE \_\_\_\_\_

<b>FILE NOW: FEE IS \$61.25</b>	9. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/> <b>\$5.00 May Be Added to Fees</b>	<b>Make Check Payable to Department of State</b>
-------------------------------------	---	--

10. OFFICERS AND DIRECTORS			11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10		
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>P</b> <b>SCHAPIRO, MARY L</b> <b>1735 K ST., N.W.</b> <b>WASHINGTON DC 20006</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>V</b> <b>FIENBERG, LINDA</b> <b>1735 K ST., N.W.</b> <b>WASHINGTON DC 20006</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>EVP</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>S</b> <b>CONLEY, JOAN C</b> <b>1735 K ST., N.W.</b> <b>WASHINGTON DC 20006</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVPS</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D</b> <b>HAMEN, HARRY P</b> <b>1 MADISON AVENUE</b> <b>NEW YORK NY 10010</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>KAMEN, HARRY P</b> <b>200 PARK AVENUE</b> <b>NEW YORK, NY 10166</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>T</b> <b>ALLEN, JAMES R</b> <b>1735 K ST., N.W.</b> <b>WASHINGTON DC 20006</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVP &amp; T</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D</b> <b>GLAUBER, ROBERT R</b> <b>79 JOHN F KENNEDY STREET</b> <b>CAMBRIDGE MA 02138</b>	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition

12. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 617, Florida Statutes; and that my name appears in Block 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: James R. Allen James R. Allen 4/28/00 (301)590-6537  
 SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR SVP & Treasurer Date Daytime Phone #

CR2E037 (9/99)

DOU55303  
DH F9700006749

**NASD Regulation, Inc.**  
1735 K Street, NW, Washington, DC 20006  
**Officers**

- |                       |   |
|-----------------------|---|
| Mary L. Schapiro      | President                                   |
| Linda D. Fienberg     | Executive Vice President                    |
| Mary Alice Brophy     | Executive Vice President                    |
| Barry R. Goldsmith    | Executive Vice President                    |
| R. Clark Hooper       | Executive Vice President                    |
| Elisse B. Walter      | Executive Vice President & COO              |
| Stephen I. Luparello  | Executive Vice President                    |
| Alden S. Adkins       | Senior Vice President & General Counsel     |
| James R. Allen        | Senior Vice President & Treasurer           |
| James M. Cangiano     | Senior Vice President                       |
| George H. Friedman    | Senior Vice President                       |
| Gerard F. Foley       | Senior Vice President                       |
| John P. Nocella       | Senior Vice President                       |
| Derek W. Linden       | Senior Vice President                       |
| Gary K. Liebowitz     | Senior Vice President                       |
| Daniel M. Sibears     | Senior Vice President                       |
| David Leibowitz       | Senior Vice President                       |
| Joan C. Conley        | Senior Vice President & Corporate Secretary |
| Susan Baumann         | Vice President & Assistant Treasurer        |
| Gregory B. Raymond    | Vice President & Controller                 |
| David M. Fitzgerald   | Vice President & Deputy Hearing Officer     |
| Patrice M. Gliniecki  | Vice President & Deputy General Counsel     |
| Gary L. Tidwell       | Vice President                              |
| Frank J. Birgfeld     | Vice President                              |
| Warren A. Butler, Jr. | Vice President                              |
| Cameron Funkhouser    | Vice President                              |
| Joseph Furey          | Vice President                              |
| Thomas R. Gira        | Vice President                              |
| Frank J. McAuliffe    | Vice President                              |
| David T. Miller       | Vice President                              |
| John M. Ramsay        | Vice President                              |
| Edward J. Morgan      | Vice President                              |
| Carlotta A. Romano    | Vice President                              |
| Jack R. Rosenfield    | Vice President                              |
| Thomas Selman         | Vice President                              |
| Roger B. Sherman      | Vice President                              |
| Jeffrey S. Holik      | Vice President                              |
| Elisabeth P. Owens    | Vice President                              |
| Barbara Z. Sweeney    | Vice President                              |
| Michael D. Wolk       | Vice President                              |

400 5500  
at F9700006749  
**CONFIDENTIAL**

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**NASD Regulation, Inc. Subsidiary Board**

**Todd A. Robinson, Chairman (Industry)**  
Chairman and Chief Executive Officer  
LPL Financial Services  
155 Federal Street  
Boston, MA 02110  
(617) 423-3644 x4280  
(617) 556-4199 - Fax  
todd.robinson@lpl.com

**Nicholas C. Cochran (Industry, NAC Chair)**  
Vice President  
American Investors Company  
11875 Dublin Boulevard, Suite D169  
P.O. Box 2947  
Dublin, CA 94568  
(925) 828-2882  
(925) 828-8989 - Fax  
cochran1@compuserve.com

**Alan L. Davidson (Industry)**  
President  
Zeus Securities, Inc.  
195 East Main Street  
Smithtown, NY 11787-0346  
(516) 382-2663  
(516) 382-5050 -Fax  
gmvs12a@prodigy.com

**Kenneth M. Duberstein (Public, Amex LLC Board)**  
Chairman and CEO  
The Duberstein Group, Inc.  
2100 Pennsylvania Ave., NW  
Suite 500  
Washington, DC 20037  
(202) 728-1100  
(202) 728-1123 - Fax

**Robert R. Glauber (Public)**  
Lecturer  
John F. Kennedy School of Government  
Weil Hall, Harvard University  
79 John F. Kennedy Street  
Cambridge, MA 02138  
(617) 495-1447  
(617) 496-0063 - Fax  
robert\_glauber@harvard.edu

**Harry P. Kamen (Non-Industry)**  
Retired Chairman and Chief Executive Officer  
Metropolitan Life Insurance Company  
200 Park Avenue  
Suite 5700  
New York, NY 10166  
(212) 953-1217  
(212) 867-2612 - Fax

**Donald J. Kirk (Public)**  
Executive-in-Residence  
Columbia University Graduate School  
of Business  
(212) 854-3314 or (203) 661-4150  
(203) 661-2021 - Fax  
Mailing Address:  
40 Rockwood Lane  
Greenwich, CT 06830.

**James S. Riepe (Non-Industry)**  
Vice Chairman  
T. Rowe Price Associates, Inc.  
100 East Pratt Street  
Baltimore, MD 21202  
(410) 345- 5745  
(410) 727-8540 - Fax  
jriepe@troweprice.com

**Richard C. Romano (Industry, Small Firm)**  
President  
Romano Brothers & Co.  
One Rotary Center, Suite 1300  
Evanston, IL 60201  
(847) 866-7700  
(847) 866-7054 - Fax  
romobros@aol.com

**NASD Regulation, Inc. Subsidiary Board  
Page Two**

**Mary L. Schapiro (Staff)**  
President  
NASD Regulation, Inc.  
1735 K Street, N.W.  
Washington, D.C. 20006  
(202) 728-8140  
(202) 728-8075 - Fax  
schapirm@nasd.com

**Frank G. Zarb (Ex-Officio, Non-Voting)**  
Chairman and Chief Executive Officer  
NASD, Inc.  
1735 K Street, NW  
Washington, DC 20006  
(202) 728-8100  
(202) 728-8075 - Fax  
zarbf@nasd.com