


**2006 NOT-FOR-PROFIT CORPORATION
ANNUAL REPORT**

FILED
Apr 14, 2006 8:00 am
Secretary of State

04-14-2006 90145 014 ****61.25

DOCUMENT # F97000006749	
1. Entity Name NASD REGULATION, INC.	


Principal Place of Business 1735 K ST., N.W. WASHINGTON, DC 20006	Mailing Address 9059 KEY WEST AVENUE ATTN: FINANCE/TAXES ROCKVILLE, MD 20850 US
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2. Principal Place of Business Suite, Apt. #, etc.	3. Mailing Address Suite, Apt. #, etc.
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City & State	City & State
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Zip	Country	Zip	Country
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01092006 Chg-NP CR2E037 (11/05)

4. FEI Number 52-1959501	Applied For <input type="checkbox"/> Not Applicable
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5. Certificate of Status Desired <input type="checkbox"/>	\$8.75 Additional Fee Required
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6. Name and Address of Current Registered Agent	7. Name and Address of New Registered Agent
CORPORATE CREATIONS NETWORK INC. 11380 PROSPERITY FARMS RD #221E PALM BEACH GARDENS, FL 33410	Name Street Address (P.O. Box Number is Not Acceptable) City FL 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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE _____ DATE _____
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

Filing Fee is \$61.25 Due by May 1, 2006	9. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/>	\$5.00 May Be Added to Fees	Make check payable to Florida Department of State
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10. OFFICERS AND DIRECTORS		11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD SCHAPIRO, MARY L 1735 K ST., N.W. WASHINGTON, DC 20006 <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	EVP FIENBERG, LINDA 1735 K ST., N.W. WASHINGTON, DC 20006 <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	SVPS SWEENEY, BARBARA Z 1735 K ST., N.W. WASHINGTON, DC 20006 <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	D ALSOVER, WILLIAM C JR. 3075 CHARLEVOIX DR S.E. GRAND RAPIDS, MI 49546 <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	D DEMURO, DAVID A 399 PARK AVE, 11TH FL NEW YORK, NY 10022 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	D JOHN W. BACHMANN <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition 12555 MANCHESTER ROAD ST. LOUIS, MO 63131
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	D JOHN J. BRENNAN <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition 100 VANGUARD BOULEVARD MALVERN, PA 19355

12. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, 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: Barbara Z. Sweeney BARBARA Z. SWEENEY, SVP Date: 4/5/06 Daytime Phone #: (240) 386-5331

ATTACHMENT

CONFIDENTIAL

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#F97000006749

NASD Regulation, Inc.

1735 K Street, NW, Washington, DC 20006

Officers

Mary L. Schapiro	Vice Chairman; President, Reg. Policy & Oversight
Robert C. Errico	Executive Vice President
Linda D. Fienberg	Executive Vice President & CHO
Thomas R. Gira	Executive Vice President & Deputy
Barry R. Goldsmith	Executive Vice President
Stephen I. Luparello	Executive Vice President
Marc Menchel	Executive Vice President
Daniel M. Sibears	Executive Vice President & Deputy
Elisse B. Walter	Executive Vice President
Warren A. Butler, Jr.	Senior Vice President
James J. Cummings	Senior Vice President
David M. Fitzgerald	Senior Vice President & Deputy Chief Hearing Officer
Cameron Funkhouser	Senior Vice President
Patrice M. Gliniecki	Senior Vice President
Emily P. Gordy	Senior Vice President
Jeffrey S. Holik	Senior Vice President
Gary K. Liebowitz	Senior Vice President
John P. Nocella	Senior Vice President
Elisabeth P. Owens	Senior Vice President
Hans-Linhard Reich	Senior Vice President
Carlotta A. Romano	Senior Vice President
Thomas M. Selman	Senior Vice President
Roger B. Sherman	Senior Vice President
James S. Shorris	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
James A. Alaimo	Vice President
P. Susan Baumann	Vice President
Timothy G. Coon	Vice President
Gene G. DeMaio	Vice President
Stephanie M. Dumont	Vice President
Rory C. Flynn	Vice President
Karrie E. Foley	Vice President
John M. Gannon	Vice President
Gary L. Goldsholle	Vice President
Jeannie Jans	Vice President
Alton (Chip) Jones	Vice President
John H. Komoroske	Vice President

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NASD Regulation, Inc. Officers Continued

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Alan B. Lawhead	Vice President
Holly L. Lokken	Vice President
Ivette Lopez	Vice President
Katherine A. Malfa	Vice President
Eric Moss	Vice President
Thomas A. Pappas	Vice President
James F. Price	Vice President
Joseph E. Price	Vice President
Everett F. Reese	Vice President
David E. Rosenstein	Vice President
Evan R. Rosser	Vice President
David R. Sonnenberg	Vice President
Richard G. Wallace	Vice President
George F. Walz	Vice President

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NASD

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NASD

Board of Governors

Robert R. Glauber (**Staff**)

Chairman and CEO

NASD

1735 K Street, NW

Washington, DC 20006

William C. Alsover, Jr. (**Industry, Small Firm**)

Chairman

Centennial Securities Company, Inc.

3075 Charlevoix Drive SE

Grand Rapids, Michigan 49546

Richard F. Brueckner (**Industry, Clearing Firm**)

Chief Executive Officer

Pershing LLC

One Pershing Plaza

95 Christopher Columbus Drive

Jersey City, NJ 07399

John W. Bachmann (**Industry**)

Senior Partner

Edward D. Jones & Company

12555 Manchester Road

St. Louis, MO 63131

James E. Burton (**Public**)

Chief Executive Officer

World Gold Council

55 Old Broad Street

London EC2M 1RX

England

Charles A. Bowsher (**Public**)

Former Comptroller General of the U.S.

4503 Boxwood Road

Bethesda, MD 20816

Sir Brian Corby (**Public**)

Chairman (retired)

Prudential Corporation plc

Fairings

Church End

Albury

Ware

Herts SG112JG

England

John J. Brennan (**Non-Industry, Investment Co.**)

Chairman and CEO

The Vanguard Group

100 Vanguard Boulevard

Malvern, PA 19355

NASD Board of Governors
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ATTACHMENT
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Tyler F. Dedman (**Public**)
United States Navy (retired)
350 Lakeview Avenue
Lake Mary, FL 32746

Mary L. Schapiro (**Staff**)
Vice Chairman, NASD
President, NASD Regulatory Policy and
Oversight Division
1735 K Street, NW
Washington, DC 20006

William H. Heyman (**Industry, Insurance Co.**)
Executive Vice President and
Chief Investment Officer
The St. Paul Travelers Companies, Inc.
Mail Code 511D
385 Washington Street
Saint Paul, MN 55102-1396

Joel Seligman (**Public**)
President
University of Rochester
240 Wallis Hall
Rochester, NY 14627

Brian J. Kovack (**Industry**)
President
Kovack Securities
6451 N. Federal Highway, Suite 1201
Ft. Lauderdale, FL 33308

John S. Simmers (**Industry, Independent
Financial Planning Firm**)
Chief Executive Officer
ING Advisors Network
200 North Sepulveda Boulevard, Suite 1200
El Segundo, CA 90245

Judith R. MacDonald (**Industry, NAC Chair**)
Managing Director
Rothschild, Inc.
1251 Avenue of the Americas
New York, NY 10020

Sharon P. Smith (**Public**)
Dean, College of Business Administration
Fordham University
Mailing Address
70 Delaware Avenue
Haworth, NJ 07641

Raymond A. Mason (**Industry, Regional
Retail Firm**)

Chairman & CEO
Legg Mason, Inc.
100 Light Street
35th Floor
Baltimore, MD 21202

NASD Staff Liaisons

T. Grant Callery
Executive Vice President and General Counsel
NASD
1735 K Street, N.W.
Washington, D.C. 20006

John Rutherford, Jr. (**Public**)
Chairman and CEO
Moody's Corporation
99 Church Street
New York, NY 10007

Barbara Z. Sweeney
Senior Vice President
and Corporate Secretary
NASD
1735 K Street, N.W.
Washington, D.C. 20006