

**FILE NOW: FILING FEE IS \$61.25**

1-4

NONPROFIT CORPORATION ANNUAL REPORT <b>1996</b>		FLORIDA DEPARTMENT OF STATE Sandra B. Mortham Secretary of State DIVISION OF CORPORATIONS
---	---	--

**DOCUMENT # P18691 (6)**

1. Corporation Name  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**



Principal Place of Business <b>1735 K STREET N. W.                  WASHINGTON DC 20006</b>	Mailing Address <b>9513 KEY WEST AVE.                  ROCKVILLE MD 20850</b>
--	--

3. Date Incorporated or Qualified <b>04/04/1988</b>	3a. Date of Last Report <b>04/26/1995</b>
--	--

2. Principal Place of Business 21 Suite, Apt. #, etc. 22 City & State 23 Zip 24 Country	2a. Mailing Address 26 Suite, Apt. #, etc. 27 City & State 28 Zip 29 Country
---	--

4. FEI Number <b>53-0088710</b>	Applied For <input type="checkbox"/> Not Applicable
5. Certificate of Status Desired <input type="checkbox"/>	<b>\$8.75 Additional Fee Required</b>
6. Election Campaign Financing Trust Fund Contribution <input type="checkbox"/>	<b>\$5.00 May Be Added to Fees</b>
8. This corporation has liability for intangible tax under s. 199.032, Florida Statutes <input type="checkbox"/> Yes <input type="checkbox"/> No	

9. Name and Address of Current Registered Agent

**CT CORPORATION SYSTEM  
 1200 S. PINE ISLAND ROAD  
 PLANTATION FL 33324**

10. Name and Address of New Registered Agent

81 Name  
 82 Street Address (P.O. Box Number is Not Acceptable)  
 83  
 84 City  
 85 Zip Code  
**FL**

11. Pursuant to the provisions of Sections 617.0502 and 617.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 617.0503, Florida Statutes.

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

12. OFFICERS AND DIRECTORS (see attachments)		13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN '96	
TITLE	<b>P</b> <input type="checkbox"/> DELETE	1.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>HARDIMAN, JOSEPH R.</b>	1.2 NAME	
STREET ADDRESS	<b>1735 K STREET, NW</b>	1.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC 20006</b>	1.4 CITY-ST-ZIP	
TITLE	<b>VT</b> <input type="checkbox"/> DELETE	2.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>ALLEN, JAMES R</b>	2.2 NAME	
STREET ADDRESS	<b>1735 K STREET, NW</b>	2.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC 20006</b>	2.4 CITY-ST-ZIP	
TITLE	<b>S</b> <input type="checkbox"/> DELETE	3.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>CONLEY, JOAN C</b>	3.2 NAME	
STREET ADDRESS	<b>1735 K STREET, NW</b>	3.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC 20006</b>	3.4 CITY-ST-ZIP	
TITLE	<b>EV</b> <input type="checkbox"/> DELETE	4.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>KETCHUM, RICHARD G</b>	4.2 NAME	
STREET ADDRESS	<b>1735 K STREET, NW</b>	4.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC 20006</b>	4.4 CITY-ST-ZIP	
TITLE	<b>EV</b> <input type="checkbox"/> DELETE	5.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>O'DONNELL, JAMES P</b>	5.2 NAME	
STREET ADDRESS	<b>1735 K STREET, NW</b>	5.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC 20006</b>	5.4 CITY-ST-ZIP	
TITLE	<b>AT</b> <input type="checkbox"/> DELETE	6.1 TITLE	<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>FISHKIN, STUART M</b>	6.2 NAME	
STREET ADDRESS	<b>1735 K STREET NW</b>	6.3 STREET ADDRESS	
CITY-ST-ZIP	<b>WASHINGTON DC</b>	6.4 CITY-ST-ZIP	

**000001869450**  
**-06/20/96--01039--031**  
**\*\*\*61.25**

14. I do hereby certify that the information supplied with this filing is voluntarily furnished and does not qualify for the exemption stated in Section 119.07(3)(k), Florida Statutes. I further certify that the information indicated on this annual report or supplemental annual 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 12 or Block 13, if changed, or on an attachment with an address.

SIGNATURE:  **Stuart M. Fishkin, Ass't Treasurer** 4/25/96 (301)590-6950  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E037 (12/95)

P19691

2-4

## **National Association of Securities Dealers, Inc.**

1735 K Street, NW Washington, DC 20006

### **Officers**

Joseph R. Hardiman	President & Chief Executive Officer
James P. O'Donnell	Executive Vice President
Richard G. Ketchum	Executive Vice President
John E. Pinto, Jr.	Executive Vice President
James M. Cangiano	Senior Vice President
Gerard F. Foley	Senior Vice President
Douglas Henderson	Senior Vice President
Wendell Jones	Senior Vice President
Douglas F. Parrillo	Senior Vice President
James F. Peck	Senior Vice President
T. Grant Callery	Vice President & General Counsel
James R. Allen	Vice President & Treasurer
Alden Adkins	Vice President
Frank J. Birgfeld	Vice President
William D. Bone	Vice President
Donald H. Bosic	Vice President
Warren Butler	Vice President
Thomas R. Cassella	Vice President
Seth Chamberlain	Vice President
Frank J. Formica	Vice President
R. Clark Hooper	Vice President
Samuel Laughery	Vice President
Deborah Masucci	Vice President
Frank J. McAuliffe	Vice President
David T. Miller	Vice President
John P. Nocella	Vice President
Willis H. Riccio	Vice President
Jack R. Rosenfield	Vice President
J. Jack Samarias	Vice President
William R. Schief	Vice President
Catherine C. Tighe	Vice President
Beth E. Weimer	Vice President
Joan C. Conley	Secretary
Stuart M. Fishkin	Assistant Treasurer

## BOARD OF DIRECTORS

3-4

### **National Association of Securities Dealers, Inc. 1735 K Street, NW Washington, DC 20006 Board of Governors**

James A. Richter  
Roney & Co..  
One Griswold Street  
Detroit, MI 48226

James S. Riepe  
T. Rowe Price Associates, Inc.  
100 East Pratt Street  
Baltimore, MD 21202

Bert C. Roberts, Jr.  
MCI Communications Corp.  
1801 Pennsylvania Avenue, NW  
Washington, DC 20006

Todd A. Robinson  
Linsco/Private Ledger Corp.  
155 Federal Street  
Boston, MA 02110

John W. Rogers, Jr.  
Ariel Capital Management, Inc.  
307 N. Michigan Avenue, Suite 1020  
Chicago, IL 60601

William A. Rogers  
Wayne Hummer & Co.  
300 Wacker Drive  
Chicago, IL 60606

William R. Rothe  
Alex Brown & Sons, Inc.  
135 E. Baltimore Street  
Baltimore, MD 21212

John E. Schmidt  
Lehman Brothers  
One Montgomery Street  
West Tower, 24th Floor  
San Francisco, CA 94104

Albert A. Sommer, Jr.  
Morgan, Lewis & Bockius  
1800 M Street, NW  
Washington, DC 20036

Madelon DeVoe Talley  
876 Park Avenue  
New York, NY 10021

R. Brian Williamson  
Gerrard & National Holdings PLC  
33 Lombard Street  
London EC3V 9BQ  
United Kingdom

Robert A. Woeber  
Arthurs, Lestrangle & Company, Inc.  
Two Gateway Center  
Pittsburgh, PA 15222

Raymond E. Wooldridge  
Southwest Securities Group, Inc.  
1201 Elm Street, Suite 4300  
Dallas, TX 75270

**BOARD OF DIRECTORS**

4-4

**National Association of Securities Dealers, Inc.  
1735 K Street, NW Washington, DC 20006  
Board of Governors**

Mary Alice Brophy  
Dain Bosworth Incorporated  
60 S. 6th Street  
Minneapolis, MN 55402

Dennis C. Hensley  
J. P. Morgan & Co., Inc.  
60 Wall Street, 39th Floor  
New York, NY 10260-0060

Richard F. Brueckner  
Pershing, Division of Donaldson, Lufkin  
& Jenrette Securities Corporation  
One Pershing Plaza  
Jersey City, NJ 07399

James S. Holbrook, Jr.  
Sterne, Agee & Leach, Inc.  
1901 Sixth Avenue, North, Suite 2100  
Birmingham, AL 35203

Parks H. Dalton  
Interstate/Johnson Lane  
Interstate Tower, 121 W. Trade Street  
Charlotte, NC 28202

Alice T. Kane, Esq.  
New York Life Insurance Company  
51 Madison Avenue, Room 1301  
New York, NY 10010

Ian B. Davidson  
D. A. Davidson & Company  
Davidson Building  
Great Falls, MT 59401

Carl E. Lindros  
Santa Barbara Securities, Inc.  
200 East Carrillo  
Santa Barbara, CA 93101

Edward L. Goldberg  
Merrill Lynch & Co., Inc.  
World Financial Center  
New York, NY 10281-1331

Richard G. McDermott, Jr.  
Chapdelaine & Company  
80 Maiden Lane  
New York, NY 10038

Bruce C. Hackett  
Salomon Brothers, Inc.  
Seven World Trade Center  
New York, NY 10048

Edgar M. Norris, Jr.  
Edgar M. Norris & Co., Inc.  
15 S. Main Street  
Greenville, SC 29601

Joseph R. Hardiman  
NASD, Inc.  
1735 K Street, NW  
Washington, DC 20006

Alfred E. Osborne, Jr.  
John E. Anderson School of  
Management  
University of California Los Angeles  
405 Hilgard Avenue  
Los Angeles, CA 90024-1481