

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Apr 19, 2001 8:00 am
Secretary of State

04-19-2001 90089 042 ****61.25

DOCUMENT # P18691

1. Entity Name
NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Principal Place of Business 1735 K STREET N. W. WASHINGTON DC 20006	Mailing Address 15201 DIAMOND BACK DRIVE FINANCE DEPT ROCKVILLE MD 20850 US
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CU049459



DO NOT WRITE IN THIS SPACE

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

3. Mailing Address
 9509 Key West Avenue
 Suite, Apt. #, etc.
 Attn: Finance/Taxes
 City & State
 Rockville, MD 20850
 Zip Country

4. FEI Number **53-0088710**
 Applied For
 Not Applicable

5. Certificate of Status Desired **\$8.75** Additional Fee Required

6. Name and Address of Current Registered Agent

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

7. Name and Address of New Registered Agent

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.

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

FILE NOW:
FEE IS \$61.25

9. Election Campaign Financing Trust Fund Contribution. **\$5.00** May Be Added to Fees

Make Check Payable to Department of State

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

TITLE NAME STREET ADDRESS CITY-ST-ZIP	P KETCHUM, RICHARD G 1735 K STREET, NW WASHINGTON DC 20006 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVT ALLEN, JAMES R. 1735 K STREET, NW WASHINGTON DC 20006 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPS CONLEY, JOAN C 1735 K STREET, NW WASHINGTON DC 20006 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D ALLISON, HERBERT M MERRILL LYNCH & CO.,INC NEW YORK NY 10281 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BAKER, NANCY KASSEBAU 700 NEW HAMPSHIRE AVE N.W. WASHINGTON DC 20004 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BAXTER, FRANK E 11100 SANTA MONICA BLVD LOS ANGELES CA 90025 <input type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	P ROBERT R. GLAUBER 1735 K STREET, NW WASHINGTON, DC 20006 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S BARBARA Z. SWEENEY 1735 K STREET, NW WASHINGTON, DC 20006 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D H. FURLONG BALDWIN 2 HOPKINS PLAZA BALTIMORE, MD 21201 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D WILLIAM C. ALSOVER 3075 CHARLEVOIX DRIVE, SE GRAND RAPIDS, MI 49546 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
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 **4/12/01** (240)386-5282
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR SVP & Treasurer Date Daytime Phone #

CR2E037 (10/00)

Attachment Doc # P18691-C0049459

National Association of Securities Dealers, Inc.

1735 K Street, NW, Washington, DC 20006

Officers

Robert R. Glauber	President & Chief Executive Officer
Salvatore F. Sodano	Vice Chairman
Todd T. Diganci	Executive Vice President & Chief Financial Officer
Michael D. Jones	Executive Vice President & Chief Admin. Officer
Douglas H. Shulman	Executive Vice President
James R. Allen	Senior Vice President & Treasurer
T. Grant Callery	Senior Vice President & General Counsel
Daniel S. Shook	Senior Vice President
Barbara Z. Sweeney	Corporate Secretary
Richard A. Bachman	Senior Vice President
Howard M. Schloss	Senior Vice President
Eileen McTavish	Senior Vice President & Corporate Controller
Bernard Thompson	Vice President & Ombudsman
Catherine C. Tighe	Vice President
Steven G. Moffett	Vice President
John J. Flood	Vice President
Michael P. Hourigan	Vice President
Nanci L. Schimizzi	Vice President
Robert L. Wood	Vice President
Rosemary Casteel	Vice President
John Withington	Vice President

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NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

NASD, Inc.
Board of Governors

Frank G. Zarb, Chairman (**Staff**)
Chairman
NASD, Inc.
1735 K Street, NW
Washington, DC 20006

Salvatore F. Sodano (**Staff**)
Vice Chairman
NASD, Inc.
1735 K. Street, NW
Washington, DC 20006

Frank E. Baxter (**Industry**)
Chairman and Chief Executive Officer
Jefferies Group, Inc.
11100 Santa Monica Boulevard
11th Floor
Los Angeles, CA 90025

William C. Alsover, Jr. (**Industry**)
Chairman
Centennial Securities Company, Inc.
3075 Charlevoix Drive SE
Grand Rapids, MI 49546

Alfred R. Berkeley, III (**Staff**)
Vice Chairman
The Nasdaq Stock Market, Inc.
1735 K Street, NW
Washington, DC 20006

M. LaRae Bakerink (**Industry**)
First Vice President and Chief Compliance Officer
Pacific American Securities, LLC
9191 Town Center Drive, Suite 406
San Diego, CA 92122

Anthony J. Boglioli (**Vice Chair, AMEX LLC Board**)
President
Whitehall Brokerage Services, Ltd.
c/o American Stock Exchange LLC
86 Trinity Place, Trading Floor
New York, NY 10006

H. Furlong Baldwin (**Non-Industry**)
Chairman
Mercantile Bankshares Corporation
2 Hopkins Plaza
Baltimore, MD 21201

Kenneth D. Pasternak (**Industry**)
President & Chief Executive Officer
Knight/Trimark Group, Inc.
515 Washington Boulevard
Jersey City, NJ 07310

Michael W. Brown (**Non-Industry, Issuer**)
Retired Chief Financial Officer
Microsoft Corporation
23316 NE Redmond-Fall City Road
Suite 605
Redmond, WA 98053

Kenneth M. Duberstein (**Public**)
Chairman and CEO
The Duberstein Group, Inc.
2100 Pennsylvania Ave., NW
Suite 500
Washington, DC 20037

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NASD, Inc. Board of Governors
Page Two

Robert R. Glauber (**Staff**)
President & CEO
NASD, Inc.
1735 K Street, NW
Washington, DC 20006

Brian T. Borders (**Public**)
President Association of Publicly Traded
Companies
Mayer, Brown & Platt
1909 K Street, NW
Washington, DC 20006-1101

David A. DeMuro
Lehman Brothers, Inc.
101 Hudson Street, 33rd Floor
Jersey City, NJ 07302

Eugene M. Isenberg (**Non-Industry**)
Chairman and CEO
Nabors Industries, Inc.
515 West Greens Road
Suite 1200
Houston, TX 77067-4525

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

Donald B. Marron
Chairman and Chief Executive Officer
Paine Webber Group, Inc.
1285 Avenue of the Americas
New York, NY 10019

Donald J. Kirk (**Public**)
Executive-in-Residence
Columbia University Graduate School
of Business
40 Rockwood Lane
Greenwich, CT 06830

David S. Pottruck (**Industry**)
President and Co-Chief Executive Officer
The Charles Schwab Corporation
101 Montgomery Street
San Francisco, CA 94104

John D. Markese (**Public**)
President
American Association of Individual Investors
625 N. Michigan Avenue
Chicago, IL 60611

James F. Rothenberg (**Non-Industry**)
President
Capital Research and Management Company
333 South Hope Street
Los Angeles, CA 90071

James S. Riepe (**Non-Industry, Investment
Company**)
Vice Chairman
T. Rowe Price Associates, Inc.
100 East Pratt Street
Baltimore, MD 21202

Mary L. Schapiro (**Staff**)
President
NASD Regulation, Inc.
1735 K Street, NW
Washington, DC 20006

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NASD, Inc. Board of Governors
Page Three

Todd A. Robinson (Industry)
Chairman and Chief Executive Officer
LPL Financial Services
155 Federal Street
Boston, MA 02110

Arvind Sodhani (Non-Industry, Issuer)
Vice President and Treasurer
Intel Corporation
2200 Mission College Boulevard, RN5-24
Santa Clara, CA 95052-8119

Arthur Rock (Non-Industry)
Principal
Arthur Rock & Co.
One Maritime Plaza, Suite 1220
San Francisco, CA 94111

Richard C. Romano (Industry, Small Firm)
President
Romano Brothers & Co.
One Rotary Center, Suite 1300
Evanston, IL 60201

Sharon P. Smith (Public)
Fordham University
Dean, College of Business Administration
Rose Hill Campus, Faber Hall
Bronx, New York 10456-5166

NASD Staff Liaisons

Barbara Z. Sweeney
Corporate Secretary
NASD, Inc.
1735 K Street, NW
Washington, DC 20006

T. Grant Callery
General Counsel
NASD, Inc.
1735 K Street, NW
Washington, DC 20006