

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
Apr 10, 2002 8:00 am
Secretary of State

04-10-2002 90446 045 ****61.25

0091626

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

9509 KEY WEST AVE
 ATTN: FINANCE/TAXES
 ROCKVILLE MD 20850
 US

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

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 _____

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

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

TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD GLAUBER, ROBERT R 1735 K STREET, NW WASHINGTON DC 20006	<input 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	SD SWEENEY, BARBARA Z 1735 K STREET, NW WASHINGTON DC 20006	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BALDWIN, H.FURLONG 2 HOPKINS PLAZA BALTIMORE MD 21201	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D ALSOVER, WILLIAM C 3075 CHARLEVOIX DR SE GRAND RAPIDS MI 49546	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BAXTER, FRANK E 11100 SANTA MONICA BLVD LOS ANGELES CA 90025	<input checked="" type="checkbox"/> Delete

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

TITLE NAME STREET ADDRESS CITY-ST-ZIP	C/CEO/D	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP/CFO TODD T. DIGANCI 1735 K STREET, NW WASHINGTON, DC 20006	<input checked="" 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		<input type="checkbox"/> Change <input 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		<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:

SIGNATURE REQUIRED **ROBERT L. WOOD**

3/21/02 (240)386-5331

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Vice President

Date

Daytime Phone #

CR2E037 (9/01)

80064206



DO NOT WRITE IN THIS SPACE

Attachment
P18691
CONFIDENTIAL
BW04206

National Association of Securities Dealers, Inc.
1735 K Street, NW, Washington, DC 20006
Officers

Robert R. Glauber	Chairman & 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
Alden S. Adkins	Senior Vice President
James R. Allen	Senior Vice President & Investment Officer
Richard A. Bachman	Senior Vice President
T. Grant Callery	Senior Vice President & General Counsel
Martin P. Colburn	Senior Vice President
Eileen M. Famiglietti	Senior Vice President & Corporate Controller
Andrew C. Goresh	Senior Vice President
Steven A. Joachim	Senior Vice President
Howard M. Schloss	Senior Vice President
Daniel S. Shook	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Lawrence E. Fitzpatrick	Vice President
John J. Flood	Vice President
Michael P. Hourigan	Vice President
Stephen A. Machlis	Vice President
Gregory B. Raymond	Vice President
Nanci L. Schimizzi	Vice President
Steven L. Semaya	Vice President
William Bernard Thompson	Vice President & Ombudsman
Justin J. Tubiolo	Vice President
John P. Withington	Vice President
Robert L. Wood	Vice President