

**2004 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT.**

**FILED**  
**Apr 29, 2004 8:00 am**  
**Secretary of State**

04-29-2004 90292 024 \*\*\*\*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  
**9509 KEY WEST AVE  
 ATTN: FINANCE/TAXES  
 ROCKVILLE, MD 20850 US**

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

3. Mailing Address  
 Suite, Apt. #, etc.  
 City & State  
 Zip Country

4. FEI Number  
**53-0088710**

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

Applied For  
 Not Applicable

01072004 Chg-NP CR2E037 (10/03)

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. 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, 2004**

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

**Make check payable to Florida Department of State**

10. OFFICERS AND DIRECTORS

TITLE NAME STREET ADDRESS CITY-ST-ZIP	CCEO GLAUBER, ROBERT A 1735 K STREET, NW WASHINGTON, DC 20006	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVPC DIGANCI, TODD T 1735 K STREET, NW WASHINGTON, DC 20006	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SV 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 checked="" 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 BACHMANN, JOHN W 12555 MANCHESTER RD SAINT LOUIS, MO 63131	<input type="checkbox"/> Delete

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

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	D M. LARAE BAKERINK 16835 W BERNARDO DRIVE, STE 203 SAN DIEGO, CA 92127	<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		<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:** Eileen M. Famiglietti **EILEEN M. FAMIGLIETTI** 4-20-04 (240) 386-5331  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

*R.A. Bachman*

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**NASD**  
**1735 K Street, NW, Washington, DC 20006**  
**Officers**

Robert R. Glauber	Chairman & Chief Executive Officer
Mary L. Schapiro	Vice Chairman; President, Reg. Policy & Oversight
Salvatore F. Sodano	Vice Chairman; Chairman & CEO, AMEX
Douglas H. Shulman	President, Regulatory Services & Operations
Linda D. Fienberg	President, Dispute Resolution
Michael D. Jones	Senior Executive Vice President & Chief Admin. Officer
T. Grant Callery	Executive Vice President & General Counsel
Martin P. Colburn	Executive Vice President & Chief Technology Officer
Todd T. Diganci	Executive Vice President & Chief Financial Officer
Robert C. Errico	Executive Vice President
George H. Friedman	Executive Vice President
Barry R. Goldsmith	Executive Vice President
Steven A. Joachim	Executive Vice President
Derek W. Linden	Executive Vice President
Stephen I. Luparello	Executive Vice President
Marc Menchel	Executive Vice President
M. Ann Short	Executive Vice President
Elisse B. Walter	Executive Vice President
James R. Allen	Senior Vice President & Investment Officer
Kenneth L. Andrlichik	Senior Vice President
Richard A. Bachman	Senior Vice President
Nick Bannister	Senior Vice President
Warren A. Butler, Jr.	Senior Vice President
Eileen M. Famiglietti	Senior Vice President & Corporate Controller
Cameron Funkhouser	Senior Vice President
Thomas R. Gira	Senior Vice President
Patrice M. Gliniecki	Senior Vice President
Andrew C. Goresh	Senior Vice President
Robert W. Gulick	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
Gregory B. Raymond	Senior Vice President
Carlotta A. Romano	Senior Vice President
Howard M. Schloss	Senior Vice President
Thomas M. Selman	Senior Vice President

Attachment

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**Page 2.**  
**NASD Officers Continued**

Roger B. Sherman	Senior Vice President
Cathleen Shine	Senior Vice President
Daniel S. Shook	Senior Vice President
James S. Shorris	Senior Vice President
Daniel M. Sibears	Senior Vice President & Deputy
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Robert L. Wood	Senior Vice President
Paul P. Andrews	Vice President
P. Susan Baumann	Vice President
Elizabeth Clancy	Vice President
Nancy Condon	Vice President
Timothy G. Coon	Vice President
James J. Cummings	Vice President
John C. Desaix	Vice President
Jean I. Feeney	Vice President & Chief Counsel, Dispute Resolution
David M. Fitzgerald	Vice President & Deputy Chief Hearing Officer
Lawrence E. Fitzpatrick	Vice President
John J. Flood	Vice President & Associate General Counsel
Rory C. Flynn	Vice President
Karrie F. Foley	Vice President
John M. Gannon	Vice President
Robert (Len) Gatrell	Vice President
Emily P. Gordy	Vice President
Michael P. Hourigan	Vice President & Assistant General Auditor
Alton (Chip) Jones	Vice President
John H. Komoroske	Vice President
George H. Larson	Vice President
Alan B. Lawhead	Vice President
Holly L. Lokken	Vice President
Ivette Lopez	Vice President
Katherine A. Malfa	Vice President
Stephen A. Machlis	Vice President
Cathy M. Mattax	Vice President
Judith Hale Norris	Vice President
Rodger D. Pinder	Vice President
James F. Price	Vice President

Attachment

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**NASD Officers Continued**

Joseph E. Price  
Everett F. Reese  
Mark W. Rippe  
Evan R. Rosser  
Karen J. Sancilio  
Nanci L. Schimizzi  
William Bernard Thompson  
Stan D. Surrette  
Gary L. Tidwell  
Justin J. Tubiolo  
Richard G. Wallace  
John P. Withington

Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President  
Vice President, Regulatory Policy & Oversight  
Vice President

*Attachment*

**NASD  
Board of Governors**

Robert R. Glauber (**Staff**)  
Chairman and CEO  
NASD  
1735 K Street, NW  
Washington, DC 20006

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

Charles A. Bowsher (**Public**)  
Former Comptroller General of the U.S.  
4503 Boxwood Road  
Bethesda, MD 20816

John W. Bachmann (**Industry**)  
Managing Partner  
Edward D. Jones & Company  
12555 Manchester Road  
St. Louis, MO 63131

John J. Brennan (**Non-Industry,  
Investment Co.**)  
Chairman and CEO  
The Vanguard Group  
100 Vanguard Square  
Malvern, PA 19355

M. LaRae Bakerink (**Industry**)  
Chief Executive Officer  
Westfield Bakerink Brozak, LLC  
16835 West Bernardo Drive, Ste 203  
San Diego, CA 92127

Richard F. Brueckner (**Industry, Clearing  
Firm**)  
Chief Executive Officer  
Pershing LLC  
One Pershing Plaza  
95 Christopher Columbus Drive  
Jersey City, NJ 07399

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

James E. Burton (**Public**)  
Chief Executive Officer  
World Gold Council  
55 Old Broad Street  
London EC2M 1RX  
England

**NASD Board of Governors**  
**Page Two**

*Attachment*

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Sir Brian Corby (**Public**)  
Chairman (retired)  
Prudential Assurance Company  
Fairings  
Church End  
Albury  
Ware  
Herts SG112JG  
England

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

David A. DeMuro (**Industry, National Retail Firm**)  
Managing Director, Director of Global  
Compliance and Regulation  
Lehman Brothers, Inc.  
399 Park Avenue, 11<sup>th</sup> Floor  
New York, NY 10022

Raymond A. Mason (**Industry, Regional Retail Firm**)  
Chairman & CEO  
Legg Mason, Inc.  
100 Light Street  
35<sup>th</sup> Floor  
Baltimore, MD 21202

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

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

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

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

Joel Seligman (**Public**)  
Dean  
Washington University School of Law  
One Brookings Drive  
St. Louis, MO 63130

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**NASD Board of Governors**  
**Page Three**

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

Salvatore F. Sodano (**Industry, Amex CEO**)  
Chairman, CEO  
The American Stock Exchange LLC  
Vice Chairman, NASD  
86 Trinity Place  
New York, NY 10006

Barbara L. Weaver (**Industry, NAC Chair**)  
Vice President, Legal & Compliance  
Howard Weil, Incorporated  
1100 Poydras Street, Suite 3500  
New Orleans, LA 70163

**NASD Staff Liaisons**

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

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