


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

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

04-14-2006 90151 037 \*\*\*\*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.

3. Mailing Address  
 Suite, Apt. #, etc.

City & State

Zip Country Zip Country

04042006 Chg-NP CR2E037 (11/05)

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

**CORPORATE CREATIONS NETWORK INC.  
 11380 PROSPERITY FARMS RD. #221E  
 PALM BEACH GARDENS, FL 33410**

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, 2006**

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		11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>CCEO GLAUBER, ROBERT A 1735 K STREET, NW WASHINGTON, DC 20006</b> <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	<b>EVPC DIGANCI, TODD T 1735 K STREET, NW WASHINGTON, DC 20006</b> <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	<b>SV SWEENEY, BARBARA Z 1735 K STREET, NW WASHINGTON, DC 20006</b> <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	<b>D BAKERINK, M. LARAE 16835 W. BERANRDO DRIVE, STE 203 SAN DIEGO, CA 92127</b> <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D</b> <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition <b>JOHN J. BRENNAN              100 VANGUARD BOULEVARD              MALVERN, PA 19355</b>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D ALSOVER, WILLIAM C 3075 CHARLEVOIX DR SE GRAND RAPIDS, MI 49546</b> <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	<b>D BACHMANN, JOHN W 12555 MANCHESTER RD SAINT LOUIS, MO 63131</b> <input type="checkbox"/> Delete	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 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:** *Eileen M. Famiglietti* **EILEEN M. FAMIGLIETTI, SVP** 4/6/06 (240) 386-5831

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

**ATTACHMENT**

CONFIDENTIAL

50012238  
#P18691  
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
Douglas H. Shulman	President, Markets, Services & Information
Linda D. Fienberg	President, Dispute Resolution, EVP & Chief Hearing Officer
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
Thomas R. Gira	Executive Vice President & Deputy
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
Howard M. Schloss	Executive Vice President
Daniel M. Sibears	Executive Vice President & Deputy
Elisse B. Walter	Executive Vice President
James R. Allen	Senior Vice President & Investment Officer
Kenneth L. Andrichik	Senior Vice President
Richard A. Bachman	Senior Vice President
Nick Bannister	Senior Vice President
Warren A. Butler, Jr.	Senior Vice President
James J. Cummings	Senior Vice President
Eileen M. Famiglietti	Senior Vice President & Corporate Controller
David M. Fitzgerald	Senior Vice President & Deputy Chief Hearing Officer
Lawrence E. Fitzpatrick	Senior Vice President
Cameron K. Funkhouser	Senior Vice President
Patrice M. Gliniecki	Senior Vice President
Emily P. Gordy	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
Cathy M. Mattax	Senior Vice President
John P. Nocella	Senior Vice President

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**NASD Officers Continued**

Elisabeth P. Owens	Senior Vice President
Gregory B. Raymond	Senior Vice President
Hans-Linhard Reich	Senior Vice President
Mark W. Rippe	Senior Vice President
Carlotta A. Romano	Senior Vice President
Thomas M. Selman	Senior Vice President
Roger B. Sherman	Senior Vice President
Daniel S. Shook	Senior Vice President
James S. Shorris	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Robert L. Wood	Senior Vice President
James A. Alaimo	Vice President
Scott C. Anderson	Vice President
Paul P. Andrews	Vice President
Marcia E. Asquith	Vice President
P. Susan Baumann	Vice President
Richard Berry	Vice President
Barbara Brady	Vice President
Elizabeth R. Clancy	Vice President
Nancy A. Condon	Vice President
Timothy G. Coon	Vice President
Jonathan M. Davis	Vice President
Gene G. DeMaio	Vice President
John C. DeSaix	Vice President
Stephanie M. Dumont	Vice President
Jean I. Feeney	Vice President & Chief Counsel, Dispute Resolution
John J. Flood	Vice President & Associate General Counsel
Rory C. Flynn	Vice President
Karrie E. Foley	Vice President
John M. Gannon	Vice President
Robert (Len) Gatrell	Vice President
Gary L. Goldsholle	Vice President
Michael P. Hourigan	Vice President & Assistant General Auditor
Helena Light Hadley	Vice President
Jeannie Jans	Vice President
Alton (Chip) Jones	Vice President
John H. Komoroske	Vice President

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**NASD Officers Continued**

George H. Larson	Vice President
Alan B. Lawhead	Vice President
David H. Lefferts	Vice President
Holly L. Lokken	Vice President
Ivette Lopez	Vice President
Stephen A. Machlis	Vice President
Katherine A. Malfa	Vice President
Eric Moss	Vice President
Judith Hale Norris	Vice President
Thomas A. Pappas	Vice President
Rodger D. Pinder	Vice President
Dorothy A. Popp	Vice President
James F. Price	Vice President
Joseph E. Price	Vice President
Timothy J. Pupo	Vice President
Everett French Reese	Vice President
Evan R. Rosser	Vice President
David E. Rosenstein	Vice President
Karen J. Sancilio	Vice President
Nanci L. Schimizzi	Vice President
Rose Schindler	Vice President
David R. Sonnenberg	Vice President
William Bernard Thompson	Vice President
Gary L. Tidwell	Vice President
Justin J. Tubiolo	Vice President
Sheila M. Vidmar	Vice President & Associate General Counsel
Richard G. Wallace	Vice President, Regulatory Policy & Oversight
George F. Walz	Vice President
John P. Withington	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

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

#P18691

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  
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200 North Sepulveda Boulevard, Suite 1200  
El Segundo, CA 90245

Judith R. MacDonald (**Industry, NAC Chair**)  
Managing Director  
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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  
35<sup>th</sup> 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  
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1735 K Street, N.W.  
Washington, D.C. 20006