


**2007 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT**

**FILED**  
**Apr 23, 2007 8:00 am**  
**Secretary of State**

04-23-2007 90255 038 \*\*\*\*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 - No P.O. Box #  
 Suite, Apt. #, etc.  
 City & State  
 Zip Country

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

03022007 Chg-NP CR2E037 (12/06)

4. FEI Number  
**53-0088710**

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

Applied For  
 Not Applicable



**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 \_\_\_\_\_ (NOTE: Registered Agent signature required when reinstating) DATE \_\_\_\_\_

**Filing Fee is \$61.25 Due by May 1, 2007**

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 checked="" 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 BRENAN, JOHN J 100 VANGUARD BLVD MALVERN, PA 19355	<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 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	CHAIRMAN & CEO MARY L. SGHAPIRO 1735 K STREET, NW WASHINGTON, DC 20006	<input checked="" 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	SVPS	<input checked="" 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 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** (240) 386-5331

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

ATTACHMENT

40077087

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NASD

1735 K Street, NW, Washington, DC 20006

Officers

Mary L. Schapiro	Chairman & CEO
Douglas H. Shulman	Vice Chairman & President, Markets, Services & Information
Linda D. Fienberg	President, Dispute Resolution, EVP & Chief Hearing Officer
Michael D. Jones	Senior Executive Vice President & Chief Admin. Officer
Stephen I. Luparello	Senior Executive Vice President
Elisse B. Walter	Senior Executive Vice President
Todd T. Diganci	Executive Vice President & Chief Financial Officer
T. Grant Callery	Executive Vice President & General Counsel
Martin P. Colburn	Executive Vice President & Chief Technology Officer
James J. Cummings	Executive Vice President
Robert C. Errico	Executive Vice President
George H. Friedman	Executive Vice President & Director
Thomas R. Gira	Executive Vice President & Deputy
Steven A. Joachim	Executive Vice President
Derek W. Linden	Executive Vice President & Chief Data Officer
Marc Menchel	Executive Vice President & General Counsel
Howard M. Schloss	Executive Vice President
Thomas M. Selman	Executive Vice President
James S. Shorris	Executive Vice President
Daniel M. Sibears	Executive Vice President & Deputy
James R. Allen	Senior Vice President
Kenneth L. Andrichik	Senior Vice President & Director
Richard A. Bachman	Senior Vice President
Nick Bannister	Senior Vice President & Managing Director
Gene G. DeMaio	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
John M. Gannon	Senior Vice President
Patrice M. Gliniecki	Senior Vice President & Deputy General Counsel
Emily P. Gordy	Senior Vice President
Gary K. Liebowitz	Senior Vice President & Regional Director
Cathy M. Mattax	Senior Vice President
Gregory B. Raymond	Senior Vice President
Everett French Reese	Senior Vice President & Chief of Staff
Hans-Linhard Reich	Senior Vice President & Regional Director

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**NASD Officers Continued**

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Mark W. Rippe	Senior Vice President
Carlotta A. Romano	Senior Vice President & Regional Director
David E. Rosenstein	Senior Vice President & Counsel
Daniel S. Shook	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Boris A. Wessley	Senior Vice President & Chief Investment Officer
Robert L. Wood	Senior Vice President
Scott C. Anderson	Vice President
Paul P. Andrews	Vice President & Deputy Managing Director
Marcia E. Asquith	Vice President & Deputy Corporate Secretary
P. Susan Baumann	Vice President & Chief Administrative Officer
Richard Berry	Vice President & Director
Barbara L. Brady	Vice President
Casey M. Carter	Vice President
Patricia A. Casimates	Vice President
Elizabeth R. Clancy	Vice President & Regional Director
Nancy A. Condon	Vice President
Timothy G. Coon	Vice President
Phung Thi Daniel	Vice President
Jonathan M. Davis	Vice President
John C. DeSaix	Vice President
Stephanie M. Dumont	Vice President & Associate General Counsel
Saman M. Far	Vice President
Jean I. Feeney	Vice President & Chief Counsel
John J. Flood	Vice President & Associate General Counsel
Rory C. Flynn	Vice President & Chief Litigation Counsel
Karrie E. Foley	Vice President
Robert L. (Len) Gattrell	Vice President
Gary L. Goldsholle	Vice President & Counsel
Helena Light Hadley	Vice President
Michael P. Hourigan	Vice President & Assistant General Auditor
Virginia F.M. (Jeannie) Jans	Vice President & District Director
Alton L. (Chip) Jones	Vice President
John H. Komoroske	Vice President & Senior Advisor to the CEO
Alan B. Lawhead	Vice President
Holly L. Lokken	Vice President

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**NASD Officers Continued**

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Ivette Lopez	Vice President
Joseph M. McCarthy	Vice President
Monique T. McNamara	Vice President
Katherine A. Malfa	Vice President & Counsel
Eric Moss	Vice President
Susan C. Murdoch	Vice President
Daniel A. Nathan	Vice President
Judith Hale Norris	Vice President & Regional Director
Thomas A. Pappas	Vice President & Director
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 & Director
Evan R. Rosser	Vice President & Director
Karen J. Sancilio	Vice President
Joseph P. Savage	Vice President
Nanci L. Schimizzi	Vice President
Rose M. Schindler	Vice President & Regional Director
David R. Sonnenberg	Vice President
William Bernard Thompson	Vice President & Ombudsman
Gary L. Tidwell	Vice President
Justin J. Tubiolo	Vice President
Richard G. Wallace	Vice President & Counsel
George F. Walz	Vice President & Director
John P. Withington	Vice President

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Board of Governors 40077087  
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Mary L. Schapiro (**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, National Retail Firm**)  
Senior Partner  
Edward 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 SG11 2JG  
England

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

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

Joel Seligman (**Public**)  
President  
University of Rochester  
240 Wallis Hall  
Rochester, NY 14627

W. Dennis Ferguson (**Industry, NAC Chair**)  
Sterne Agee Clearing  
980 North Federal Highway  
Suite 108  
Boca Raton, FL 33432

John S. Simmers (**Industry, Independent  
Financial Planning Firm**)  
Chief Executive Officer  
ING Advisors Network  
200 North Sepulveda Boulevard, Suite 1200  
El Segundo, CA 90245

William H. Heyman (**Non-Industry, Insurance  
Co.**)  
Vice Chairman and Chief Investment Officer  
The St. Paul Travelers Companies, Inc.  
Mail Code 511D  
385 Washington Street  
Saint Paul, MN 55102-1396

Sharon P. Smith (**Public**)  
Provost & Vice President of Academic Affairs of  
National University, and Vice Chancellor of  
Academic Affairs of National University system  
11255 North Torrey Pines Road  
La Jolla, CA 92037

Brian J. Kovack (**Industry**)  
President  
Kovack Securities, Inc.  
6451 N. Federal Highway, Suite 1201  
Ft. Lauderdale, FL 33308

## 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 (retired)  
Moody's Corporation  
99 Church Street  
New York, NY 10007

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