

**2003 NOT-FOR-PROFIT CORPORATION
UNIFORM BUSINESS REPORT (UBR)**

FILED
Mar 31, 2003 8:00 am
Secretary of State

03-31-2003 90215 014 ****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
**9609 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

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

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



CHECK HERE IF MAKING CHANGES

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 _____ (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 Florida Department of State

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

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	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		<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		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SV	<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
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BACHMANN, JOHN W. 12555 MANCHESTER ROAD ST. LOUIS, MO 63131	<input type="checkbox"/> Change <input checked="" 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* **REQUIRED** EILEEN M. FAMIGLIETTI (240) 386-5331

CR2E037 (10/02)

Attachment

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

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

Mary L. Schapiro **(Staff)**
President
Regulatory Policy and
Oversight Division
NASD
1735 K Street, N.W.
Washington, D.C. 20006

NASD Staff Liaisons

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

Hardwick Simmons **(Industry)**
Chairman and CEO
The Nasdaq Stock Market, Inc.
1500 Broadway, 9th Floor
New York, NY 10036

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

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

Attachment

CONFIDENTIAL

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NASD
1735 K Street, NW, Washington, DC 20006
Officers
2003

Robert R. Glauber	Chairman & Chief Executive Officer
Mary L. Schapiro	Vice Chairman
Salvatore F. Sodano	Vice Chairman
Douglas H. Shulman	President, Regulatory Services & Operations
Linda D. Fienberg	Executive Vice President & 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
Barry R. Goldsmith	Executive Vice President
R. Clark Hooper	Executive Vice President
Derek W. Linden	Executive Vice President
Stephen I. Luparello	Executive Vice President
M. Ann Short	Executive Vice President
Elisse B. Walter	Executive Vice President
James R. Allen	Senior Vice President & Investment Officer
Richard A. Bachman	Senior Vice President
Nick Bannister	Senior Vice President
Eileen M. Famiglietti	Senior Vice President & Corporate Controller
Cameron Funkhouser	Senior Vice President
Thomas R. Gira	Senior Vice President
Andrew C. Goresh	Senior Vice President
Robert W. Gulick	Senior Vice President
Jeffrey S. Holik	Senior Vice President
Steven A. Joachim	Senior Vice President
Gary K. Liebowitz	Senior Vice President
Frank J. Mcauliffe	Senior Vice President
Marc Menchel	Senior Vice President
John P. Nocella	Senior Vice President
Elisabeth P. Owens	Senior Vice President
Carlotta A. Romano	Senior Vice President
Howard M. Schloss	Senior Vice President
Thomas M. Selman	Senior Vice President
Roger B. Sherman	Senior Vice President
Cathleen Shine	Senior Vice President
Daniel S. Shook	Senior Vice President
Daniel M. Sibears	Senior Vice President & Deputy

Attachment

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NASD Officers Continued

Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Robert L. Wood	Senior Vice President
Kenneth L. Andrichik	Vice President
P. Susan Baumann	Vice President
Warren A. Butler, Jr.	Vice President
Elizabeth Clancy	Vice President
James J. Cummings	Vice President
John C. Desaix	Vice President
Jean I. Feeney	Vice President & Chief Counsel
David M. Fitzgerald	Vice President & Deputy Chief Hearing Officer
Lawrence E. Fitzpatrick	Vice President
John J. Flood	Vice President & Associate General Counsel
Karrie F. Foley	Vice President
Patrice M. Gliniecki	Vice President & Deputy General Counsel
Michael P. Hourigan	Vice President & Assistant General Auditor
John H. Komoroske	Vice President & Senior Advisor to the President
George H. Larson	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
Rodger D. Pinder	Vice President
James F. Price	Vice President
Joseph E. Price	Vice President
Gregory B. Raymond	Vice President & Technology Controller
Mark W. Rippe	Vice President
Karen J. Sancilio	Vice President
Nanci L. Schimizzi	Vice President
William Bernard Thompson	Vice President & Ombudsman
Gary L. Tidwell	Vice President
Justin J. Tubiolo	Vice President
Richard G. Wallace	Vice President & Chief Counsel
John P. Withington	Vice President

Attachment

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NASD

2003

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

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

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

Brian T. Borders, Esq. (**Public**)
Mayer, Brown, Rowe & Maw
1909 K Street, NW
Washington, DC 20006-1101

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

John J. Brennan (**Non-Industry,
Investment Co.**)

Chairman and CEO
The Vanguard Group
100 Vanguard Square
Malvern, PA 19355

H. Furlong Baldwin (**Non-Industry**)
Chairman
Mercantile Bankshares Corporation
2 Hopkins Plaza, 8th Floor
Baltimore, MD 21201

Richard F. Brueckner (**Industry, Clearing
Firm**)

Chief Executive Officer
Pershing Division of Credit
Suisse First Boston
One Pershing Plaza
95 Christopher Columbus Drive
Jersey City, NJ 07399

Attached

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2003 NASD Board of Governors
Page Two

James E. Burton (**Public**)
Chief Executive Officer
World Gold Council
45 Pall Mall
London SW1Y 5JG
England

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

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**)

Douglas L. Kelly (**NAC Chair**)
A.G. Edwards & Sons, Inc.
One North Jefferson Avenue
St. Louis, MO 63103

Managing Director, Director of Global
Compliance and Regulation
Lehman Brothers, Inc.
399 Park Avenue, 11th Floor
New York, NY 10022

Raymond A. Mason (**Industry, Regional Retail Firm**)

Chairman & CEO
Legg Mason Wood Walker, Inc.
100 Light Street
35th Floor
Baltimore, MD 21202

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

Richard C. Romano (**Industry**)
Chairman
Romano Brothers & Co.
One Rotary Center, Suite 1300
Evanston, IL 60201