

2013 FOREIGN NOT FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# F97000006749

Entity Name: FINRA REGULATION, INC.

Current Principal Place of Business:

1735 K STREET, NW
WASHINGTON, DC 20006

Current Mailing Address:

9509 KEY WEST AVENUE
ATTN: FINANCE/TAX
ROCKVILLE, MD 20850 US

FEI Number: 52-1959501

Certificate of Status Desired: No

Name and Address of Current Registered Agent:

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

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:

Electronic Signature of Registered Agent

Date

Officer/Director Detail :

Title CCEO, PRESIDENT, DIRECTOR
Name KETCHUM, RICHARD G
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title CFO, TREASURER, EVP
Name DIGANCI, TODD T
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title SECRETARY, SVP
Name ASQUITH, MARCIA E
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, EVP
Name AHERN, GREGORY
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, EVP
Name AXELROD, SUSAN F
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER
Name BENNETT, J BRADLEY
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, EVP, CTO
Name COLBURN, MARTIN P
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, CLO
Name COLBY, ROBERT
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

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I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with all other like empowered.

SIGNATURE: MARCIA E. ASQUITH

**SENIOR VICE PRESIDENT 04/04/2013
& CORPORATE
SECRETARY**

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

Title OFFICER, CHO
Name FIENBERG, LINDA D
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, EVP, CIO
Name RANDICH, STEVEN J
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title OFFICER, EVP
Name VOGEL, GRACE B
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name BANDES, JED E
Address 2963 GULF OF BAY BLVD, SUITE 330
City-State-Zip: CLEARWATER FL 33759

Title DIRECTOR
Name BRENNAN, JOHN J
Address 400 DEVON PARK DRIVE
City-State-Zip: WAYNE PA 19087

Title DIRECTOR
Name CARRENO, KEVIN A
Address 300 S. ORANGE AVENUE, SUITE 1100
City-State-Zip: ORLANDO FL 32801

Title DIRECTOR
Name DAVIDSON, CAROL A
Address 4851 BONITA BAY BLVD., # 1102
City-State-Zip: BONITA SPRINGS FL 34134

Title DIRECTOR
Name FERGUSON, W. DENNIS
Address 1489 W. PALMETTO PARK ROAD, SUITE 355
City-State-Zip: BOCA RATON FL 33486

Title DIRECTOR
Name GOLDSCHMID, HARVEY J
Address 435 WEST 116TH STREET, ROOM 520
City-State-Zip: NEW YORK NY 10027

Title DIRECTOR
Name JACKSON, DR. SHIRLEY A
Address 110 EIGHTH STREET
City-State-Zip: TROY NY 12180

Title DIRECTOR

Title OFFICER, SVP
Name JOHNSON, TRACY
Address 1735 K STREET, NW
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Title OFFICER, EVP
Name SELMAN, THOMAS M
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Title OFFICER, SVP
Name WALSH, GERALDINE M
Address 1735 K STREET, NW
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Title DIRECTOR
Name BOWSHER, CHARLES A
Address 4503 BOXWOOD ROAD
City-State-Zip: BETHESDA MD 20816

Title DIRECTOR
Name BURTON, JAMES E
Address 1655 13TH AVENUE
City-State-Zip: SACRAMENTO CA 95818

Title DIRECTOR
Name CASADY, MARK S
Address 75 STATE STREET, 24TH FLOOR
City-State-Zip: BOSTON MA 02109

Title DIRECTOR
Name DOLAN, JOHN FX
Address 834 UPPER HOLLOW ROAD
City-State-Zip: STOWE VT 05672

Title DIRECTOR
Name FLEMING, GREGORY J
Address 1585 BROADWAY, 41ST FLOOR
City-State-Zip: NEW YORK NY 10019

Title DIRECTOR
Name HEYMAN, WILLIAM H
Address 385 WASHINGTON STREET
City-State-Zip: SAINT PAUL MN 55102

Title DIRECTOR
Name NORENSBERG, KEN
Address 29 FROST LANE
City-State-Zip: LAWRENCE NY 11559

Title DIRECTOR

Name PECHTER , RICHARD S
Address 500 PARK AVENUE
City-State-Zip: NEW YORK NY 10022

Title DIRECTOR
Name SELIGMAN , JOEL
Address 240 WALLIS HALL
City-State-Zip: ROCHESTER NY 14627

Title DIRECTOR
Name STOCKER, KURT P
Address 630 ZUNI COURT
City-State-Zip: TAOS NM 87571

Title DIRECTOR
Name WEDDLE , JAMES D
Address 12555 MANCHESTER ROAD
City-State-Zip: ST. LOUIS MO 63131

Name SCHMIDLIN , JOHN W
Address 15 SPRINGCROFT ROAD
City-State-Zip: FAR HILLS NJ 07931

Title DIRECTOR
Name STERN, GARY H
Address 1727 HUMBOLDT AVENUE, S
City-State-Zip: MINNEAPOLIS MN 55403

Title DIRECTOR
Name WAUGH , SETH H
Address 60 WALL STREET, 46TH FLOOR
City-State-Zip: NEW YORK NY 10005