

2020 FOREIGN NOT FOR PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# P18691

Entity Name: FINANCIAL INDUSTRY REGULATORY AUTHORITY, 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: 53-0088710

Certificate of Status Desired: No

Name and Address of Current Registered Agent:

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 32301-2525 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 EVP
Name WOLLMAN, BILL
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name KOVACK ESQ, BRIAN J
Address 6451 N FEDERAL HWY STE 1201
City-State-Zip: FORT LAUDERDALE FL 33308

Title DIRECTOR
Name DRUMMOND, LANCE F
Address 14263 NOLEN LANE
City-State-Zip: CHARLOTTE NC 28277

Title DIRECTOR
Name PLOSSER, CHARLES I
Address 9 LAUREL OAK RD
City-State-Zip: AMELIA ISLAND FL 32034

Title DIRECTOR
Name WALTER, ELISSE B
Address 7529 ROYAL DOMINION DR
City-State-Zip: BETHESDA MD 20817

Title SVP
Name WALSH, GERALDINE M
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title CHAIRMAN
Name HEYMAN, WILLIAM H
Address 485 LEXINGTON AVE
City-State-Zip: NEW YORK NY 10017

Title DIRECTOR
Name WEBBER, AMY L
Address 1776 PLEASANT PLAIN RD
City-State-Zip: FAIRFIELD IA 52556

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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: ROBERT A. RENNER

VP

02/07/2020

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

Title SVP
Name SOKOBIN, JONATHAN S
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name NAGENGAST, JAMES D
Address 12325 PORT GRACE BLVD
City-State-Zip: LA VISTA NE 68128

Title DIRECTOR
Name MURPHY, KATHLEEN A
Address 200 SEAPORT BLVD, V7A
City-State-Zip: BOSTON MA 02210

Title SVP
Name DROBNYK, JOSH
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title EVP
Name BERRY, RICHARD W
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

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

Title SVP
Name SCHOENEMAN, STEVE
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title EVP
Name GIRA, THOMAS
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

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

Title DIRECTOR
Name SALE, HILLARY A
Address 600 NEW JERSEY AVE, NW
City-State-Zip: WASHINGTON DC 20001

Title DIRECTOR

Title DIRECTOR
Name MECANE, JOSEPH M
Address 350 PARK AVE
10TH FL
City-State-Zip: NEW YORK NY 10022

Title DIRECTOR
Name LEVINE, JOSHUA S
Address 2 E. ELM ST #25
City-State-Zip: GREENWICH CT 06830

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

Title EVP
Name RUFINO, MICHAEL
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title VP
Name RENNER, ROBERT A
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

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

Title DIRECTOR
Name JENAH, SUSAN WOLBURGH
Address 192 CARMICHAEL AVE
City-State-Zip: TORONTO ON M5M 2X3

Title EVP
Name SELMAN, THOMAS M
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title CEO, PRESIDENT, DIRECTOR
Name COOK, ROBERT W
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name PIERCE, PAIGE W
Address 8955 S TAFT HILL DR SUITE 100
City-State-Zip: SANDY UT 84093

Title SVP
Name JONES JR., ALTON L.
Address 1735 K STREET, NW

Name MURRAY, EILEEN K
Address 400 NYALA FARMS RD
City-State-Zip: WESTPORT CT 06880

Title SVP
Name DEAN JR., GREGORY J
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name SCHEVE, TIMOTHY C
Address 1717 ARCH ST, FLOOR 22
City-State-Zip: PHILADELPHIA PA 19103

Title EVP
Name HAVLIK, BARI
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name FLINT, CHRIS W.
Address 2801 HIGHWAY 280 SOUTH
City-State-Zip: BIRMINGHAM AL 35223

Title SVP
Name HOPPER, JESSICA
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name FISHER, PETER R.
Address TUCK SCHOOL OF BUSINESS
DARTMOUTH COLLEGE
City-State-Zip: HANOVER NH 03755

City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name KOHN, STEPHEN A
Address 7114 W JEFFERSON AVE
SUITE 305
City-State-Zip: LAKEWOOD CO 80235

Title DIRECTOR
Name EHNES, JOHN
Address 100 WATERFRONT PLACE
City-State-Zip: WEST SACRAMENTO CA 95605

Title DIRECTOR
Name Busette, CAMILLE M.
Address 1775 MASSACHUSETTS AVENUE, NW
City-State-Zip: WASHINGTON DC 20036

Title DIRECTOR
Name TAFARA, ETHIOPIS
Address 2121 PENNSYLVANIA AVENUE, NW
City-State-Zip: WASHINGTON DC 20433

Title DIRECTOR
Name MURPHY, LINDE
Address 950 EAST BASSE ROAD
City-State-Zip: SAN ANTONIO TX 78209

Title SVP
Name ANDERSON, ROCK
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006