

2016 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 MADRIAN, BRIGITTE C
Address 79 JFK ST, MAILBOX 114
City-State-Zip: CAMBRIDGE MA 02138

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

Title CHIEF RISK OFFICE3R
Name DI FLORIO, CARLO V
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name DAVIDSON, CAROL ANTHONY
Address 4851 BONITA BAY BLVD STE 1404
City-State-Zip: BONITA SPRINGS FL 34134

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

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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

VICE PRESIDENT

04/29/2016

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

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

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

Title DIRECTOR
Name BRENNAN, JOHN J
Address 439 CHANDLEE DR
City-State-Zip: BERWYN PA 19312

Title DIRECTOR
Name THIEL, JOHN W
Address 2 WORLD FINANCIAL CENTER, 42
City-State-Zip: NEW YORK NY 10281

Title DIRECTOR
Name MECANE, JOSEPH M
Address 745 SEVENTH AVE 3RD FL
City-State-Zip: NEW YORK NY 10019

Title DIRECTOR
Name LEVINE, JOSEPH S
Address 315 W 36TH ST 10TH FL
City-State-Zip: NEW YORK NY 10018

Title DIRECTOR
Name SEIDMAN, LESLIE F
Address 10 BEECHWOOD LANE
City-State-Zip: WESTPORT CT 06880

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

Title AUTH SIGNER, VP

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

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

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

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

Title DIRECTOR
Name ROMANO, JOSEPH R.V.
Address 1560 SHERMAN AVE STE 1300
City-State-Zip: EVANSTON IL 60201

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

Title DIRECTOR
Name VICEIRA, LUIS M
Address BAKER LIBRARY 367
City-State-Zip: BOSTON MA 02163

Title DIRECTOR
Name CRESAP, MARK W
Address 259 RADNOR-CHESTER RD STE 140
City-State-Zip: RADNOR PA 19087

Title DIRECTOR
Name QUARLES, RANDAL K
Address 79 S MAIN ST 3RD FL
City-State-Zip: SALT LAKE CITY UT 84111

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

Title CHIEF LEGAL OFFICER
Name COLBY, ROBERT
Address 1735 K STREET, NW

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

Title DIRECTOR
Name KENNAN JR, ROBERT
Address 1609 W MAIN ST
City-State-Zip: RUSSELLVILLE AR 72801

Title DIRECTOR
Name LAZARUS, ROCHELLE
Address 636 11TH AVE
City-State-Zip: NEW YORK NY 10036

Title CHIEF INFORMATION OFFICER, EVP
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 SVP
Name JOHNSON, TRACY
Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR
Name SCULLY, ROBERT W

Address 9 E 79TH ST
City-State-Zip: NEW YORK NY 10075

Title EVP
Name JOACHIM, STEVEN A

Address 1735 K STREET, NW
City-State-Zip: WASHINGTON DC 20006

Title SEVP
Name AXELROD, SUSAN F

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 HEYMAN, WILLIAM H

Address 385 WASHINGTON ST
City-State-Zip: SAINT PAUL MN 55102