

# F00000001419

Document Number Only

CT Corporation System  
660 East Jefferson Street  
Tallahassee, FL 32301  
850-222-1092

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\*\*\*\*\*70.00 \*\*\*\*\*70.00

Corporation(s) Name

NASD Dispute Resolution, Inc

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00 MAR 16 PM 1:27

☐ Profit

☐ Amendment

☐ Merger

☒ Nonprofit

☒ Foreign

☐ Dissolution

☐ Mark

☐ LLC

☐ Withdrawal

☐ Limited Partnership

☐ Annual Report

☐ Other

☐ Reinstatement

☐ Reservation

☐ Ch. RA

☐ Fictitious Name

☐ UCC

☐ Certified Copy

☐ Photocopies

☐ CUS

☐ arts/ameds/mergers ☐ Other-See Above

☒ Walk in

☒ Pick-up

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To:  
Jeffrey Butterfield

Thank You!

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Handwritten signature/initials

**APPLICATION BY FOREIGN NOT FOR PROFIT CORPORATION FOR  
AUTHORIZATION TO CONDUCT ITS AFFAIRS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 617.1503, FLORIDA STATUTES, THE FOLLOWING IS  
SUBMITTED TO REGISTER A FOREIGN NOT FOR PROFIT CORPORATION FOR  
AUTHORIZATION TO CONDUCT ITS AFFAIRS IN THE STATE OF FLORIDA:*

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1. NASD Dispute Resolution, Inc.

(Name of corporation: must include the word "INCORPORATED" or "CORPORATION" or words or abbreviations of like import in language as will clearly indicate that it is a corporation instead of a natural person or partnership if not so contained in the name at present. "Company" or "Co." may not be used as a corporate suffix by a nonprofit corporation.)

2. Delaware

(State or country under the law of which it is incorporated)

3. 52-2187577

(FEI number, if applicable)

4. May 11, 1999

(Date of Incorporation)

5. perpetual

(Duration: Year corp. will cease to exist or "perpetual")

6. upon qualification

(Date corporation first conducted Affairs in Florida -  
See sections 617.1501, 617.1502, and 817.155, F.S.)

7. 1735 K Street, NW

Washington, DC 20006

(Current mailing address)

8. See Attachment A

(Purpose(s) of corporation authorized in home state or country to be carried out in the state of Florida)

**9. Name and street address of Florida registered agent:**

C T CORPORATION SYSTEM

(Name)

c/o C T CORPORATION SYSTEM, 1200 S. Pine Island Rd.,

(Office address)

Plantation

(City)

, Florida, 33324

(Zip Code)

**10. Registered agent's acceptance:**

*Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.*

C T CORPORATION SYSTEM



(Registered agent's signature)

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other

official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

**12. Names and addresses of officers and/or directors: (Street address only- P. O. Box NOT acceptable)**

**A. DIRECTORS (Street address only- P. O. Box NOT acceptable)**

Chairman: See Attachment B

Address: \_\_\_\_\_

Vice Chairman: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

**B. OFFICERS (Street address only- P. O. Box NOT acceptable)**

President: See Attachment B

Address: \_\_\_\_\_

Vice President: \_\_\_\_\_

Address: \_\_\_\_\_

Secretary: \_\_\_\_\_

Address: \_\_\_\_\_

Treasurer: \_\_\_\_\_

Address: \_\_\_\_\_

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13. Linda D. Fienberg  
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

Linda D. Fienberg, President

(Typed or printed name and capacity of person signing application)

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**Attachment A**

**NASD Dispute Resolution, Inc.**

**Purpose of Corporation Authorized in Home State**

“to engage in any lawful act or activity for which corporations may be organized under the General Corporation Law of the State of Delaware and, without limiting the generality of the forgoing business or purposes to be conducted or promoted, shall include the responsibilities and functions set forth in the “Plan of Allocation and Delegation of Functions by NASD to Subsidiaries,” as approved by the Securities and Exchange Commission, as amended from time to time. The Corporation is not organized for profit and no part of the net earnings of the Corporation shall inure to the benefit of any private stockholder or individual.”

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Attachment B

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NASD DISPUTE RESOLUTION, INC.

**Officers**

<u>Name</u>	<u>Title</u>	<u>Address</u>
Linda D. Fienberg	President	3125 Beech Street, NW Washington, DC 20015
James R. Allen	Treasurer	6112 Granby Road Rockville, MD 20855
Joan C. Conley	Secretary	9611 Carriage Road Kensington, MD 20895

**Directors**

<u>Name</u>	<u>Title</u>	<u>Address</u>
Linda D. Fienberg	Director	3125 Beech Street, NW Washington, DC 20015
James R. Allen	Director	6112 Granby Road Rockville, MD 20855
Joan C. Conley	Director	9611 Carriage Road Kensington, MD 20895

State of Delaware  
Office of the Secretary of State

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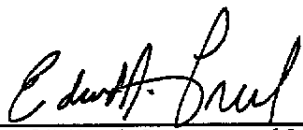
PAGE 1

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "NASD DISPUTE RESOLUTION, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTY-FIFTH DAY OF FEBRUARY, A.D. 2000.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE NOT BEEN ASSESSED TO DATE.

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STATE  
SECRETARY OF CORPORATIONS  
DIVISION OF CORPORATIONS  
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Edward J. Freel, Secretary of State

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AUTHENTICATION: 0280350

DATE: 02-25-00