

2001 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # F00000001419

1. Entity Name

NASD DISPUTE RESOLUTION, INC.

FILED
Apr 19, 2001 8:00 am
Secretary of State

04-19-2001 90089 043 ***150.00

Principal Place of Business

1735 K STREET, NW
WASHINGTON DC 20006

Mailing Address

1735 K STREET, NW
WASHINGTON DC 20006

2. Principal Place of Business

3. Mailing Address

9509 Key West Avenue

Suite, Apt. #, etc.

Suite, Apt. #, etc.

Attn: Finance/Taxes

City & State

City & State

Rockville, MD 20850

Zip

Country

Zip

Country

4. FEI Number 52-2187577

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION FL 33324

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.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☐

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2001 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE PD
NAME FIENBERG, LINDA D
STREET ADDRESS 3125 BEECH STREET, N.W.
CITY-ST-ZIP WASHINGTON DC 20015 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP ☐ Change ☐ Addition

TITLE TD
NAME ALLEN, JAMES R
STREET ADDRESS 6112 GRANBY ROAD
CITY-ST-ZIP ROCKVILLE MD 20855 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP ☐ Change ☐ Addition

TITLE SD
NAME CONLEY, JOAN C
STREET ADDRESS 9611 CARRIAGE ROAD
CITY-ST-ZIP KENSINGTON MD 20895 ☒ Delete

TITLE SD
NAME BARBARA Z. SWEENEY
STREET ADDRESS 1735 K STREET, NW
CITY-ST-ZIP WASHINGTON, DC 20006 ☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP ☐ Delete

TITLE VP
NAME KENNETH L. ANDRICHIK
STREET ADDRESS 1735 K STREET, NW
CITY-ST-ZIP WASHINGTON, DC 20006 ☐ Change ☒ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP ☐ Delete

TITLE EVP
NAME GEORGE H. FRIEDMAN
STREET ADDRESS 1735 K STREET, NW
CITY-ST-ZIP WASHINGTON, DC 20006 ☐ Change ☒ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP ☐ Delete

TITLE D
NAME JOHN SEXTON
STREET ADDRESS 40 WASHINGTON SQUARE, S
CITY-ST-ZIP NEW YORK, NY 10012 ☐ Change ☒ Addition

13. 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 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

James R. Allen

SVP & Treasurer

Date

Daytime Phone #

(240)386-5282

CR2E034 (10/00)

00049458



DO NOT WRITE IN THIS SPACE

Attachment Doc # F0000001419

NASD Dispute Resolution, Inc.

1735 K Street, NW, Washington, DC 20006

Officers

C0049458

Linda D. Fienberg
President
1735 K Street, NW
Washington, DC 20006

Barbara Z. Sweeney
Corporate Secretary
1735 K Street, NW
Washington, DC 20006

George H. Friedman
Executive Vice President
125 Broad Street
36th Floor
New York, NY 10004

Kenneth L. Andrichik
Vice President
1735 K Street, NW
Washington, DC 20006

James R. Allen
Senior Vice President & Treasurer
1735 K Street, NW
Washington, DC 20006

Attachment Doc # F0000001419

NASD DISPUTE RESOLUTION BOARD

C0049458

John Sexton, Dean (P)
New York University School of Law
40 Washington Square South
Vanderbilt Hall, Room 406
New York, NY 10012
(212) 998-6000
(212) 995-3150 - Fax
John.Sexton@nyu.edu

Linda D. Fienberg (I)
President
NASD Dispute Resolution
1735 K Street, NW
Washington, DC 20006-1506
(202) 728-8407
(202) 728-8833 - Fax
Linda.Fienberg@nasd.com

Donald B. Marron (I)
Chairman, CEO
PaineWebber Group, Inc.
1285 Avenue of the Americas
New York, NY 10019
(212) 713-2105
(212) 713-4554 - Fax

Donald J. Kirk (P)
Vice-Chairman,
Public Oversight Board,
American Institute of Certified
Public Accountants
40 Rockwood Lane
Greenwich, CT 06830
(203) 661-4150
(203) 661-2021 - Fax
djkkirk@worldnet.att.net

Richard C. Romano (I)
President
Romano Brothers & Company
One Rotary Center, Suite 1300
Evanston, IL 60201
(847) 866-7700
(847) 866-7054 - Fax
romobros@aol.com

John D. Markese (P)
President
American Association of Individual
Investors
625 N. Michigan Avenue
Chicago, IL 60611
(312) 280-0170
(312) 280-9883 - Fax
aaiijm@aol.com