* 2002 Uniform Business Report (UBR)

DOCUMENT # F0000001419 1. Entity Name NASD DISPUTE RESOLUTION, INC.						Apr 10, 2002 8:00 am Secretary of State 04-10-2002 90446 046 ***150.00				
Principal Place 1735 K STRE WASHINGTOR		Mailing Address 9509 KEY WEST AVE ATTN: FINANCE/TAXES ROCKVILLE MD 20850				BOOG 4205				
2. Principal F	Place of Business	3. Mailing Address								
Suite, Apt.	#, etc.	Suite, Apt. #, etc.				DO NOT WRITE IN THIS SPACE				
City & Stat	e	City & State			4.	FEI Number 52-2187577			plied For t Applicable	
Zip Country		Zip Countr		try	5.	5. Certificate of Status Desired \$8.75 Addit Fee Required				
	6. Name and Address of Current Re				7.	7. Name and Address of New Registered Agent				
				Name						
C T CORPORATION SYSTEM 1200 SOUTH PINE ISLAND ROAD				Street Address (P.O. Box Number is Not Acceptable)						
PLANTAT	ION FL 33324	City					- 1	Zip Code		
				Ony			FL	2.p 0000		
SIGNATURE Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered agent and title if applicable. FILE NOW!!! FE Tax filling requirement and elects to do so. (See criteria on back) Make Check Payable to				IS \$150.0 will be \$5	50.00	reinstating) 10. Election Campaign Financing Trust Fund Contribution.	ATE		0 May Be to Fees	
11.	OFFICERS AND DI	RECTORS	12.		Α	DDITIONS/CHANGES TO OFFICERS	AND DIF	RECTORS	IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD FIENBERG, LINDA D 3125 BEECH STREET, N.W. WASHINGTON DC 20015	☐ Delete	ш			K STREET, NW NGTON, DC 20006	ĽΣ	Change	☐ Addition	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	TD ALLEN, JAMES R 6112 GRANBY ROAD ROCKVILLE MD 20855	□ Delete	II .			,		Change	Addition	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SD CONLEY, JOAN C 1735 K ST, NW WASHINGTON DC 20006	<i>1</i> 1			1735	RBARA Z. SWEENEY SS K STREET, NW SHINGTON, DC 20006			Addition	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP ANDRICHIK, KENNETH L 1735 K ST, NW WASHINGTON DC 20006	□ Delete	ш			ROAD STREET ORK, NY 10004		Change	☐ Addition	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP FRIEDMAN, GEORGE H 1735 K ST. NW WASHINGTON DC 20006	☐ Delete	II		125 B	ROAD STREET ORK, NY 10004	ď	Change	Addition	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D SEXTON, JOHN 40 WASHINGTON SQUARE, S NEW YORK NY 10012	□ Delete	? I					Change	Addition	
13. I hereby of indicated of the corchanged,	certify that the information supplied with the on this report or supplemental report is true poration or the received or trustee empower or on an attachment with an address year.	is filing does not qualify for the and accurate and that my conditions to execute this report as all other like empowered.	ne exer signat requir	mption state ture shall ha red by Char	ed in Section we the same oter 607, Flo	119.07(3)(i), Florida Statutes. I furthe legal effect as if made under oath; the rida Statutes; and that my name appe	er certify the nat I am a ears in Blo	hat the int n officer o ock 11 or	formation or director Block 12 if	

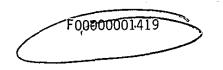
SIGNATURE:

NTED NAME OF SIGNANG OFFICER OR DIRECTOR SUP & SECRETAD

(240)386-5331

Daytime Phone #

CR2E034 (9/01)



CONFIDENTIAL

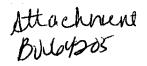
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NASD Dispute Resolution, Inc.

Officers

Linda D. Fienberg President 1735 K Street, NW Washington, DC 20006 Barbara Z. Sweeney Senior Vice President & Corporate Secretary 1735 K Street, NW Washington, DC 20006

George H. Friedman Executive Vice President 125 Broad Street New York, NY 10004 Kenneth L. Andrichik Vice President 125 Broad Street New York, NY 10004



NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

NASD DISPUTE RESOLUTION, INC. Board of Directors

John Sexton, Chairman (Public)
President-Elect
New York University
40 Washington Square South
New York, NY 10012

Mr. John W. Bachmann (Industry) Managing Partner Edward D. Jones & Company 12555 Manchester Road St. Louis, MO 63131 Donald J. Kirk (Public) 40 Rockwood Lane Greenwich, CT 06830

Linda D. Fienberg (Staff)
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Robert R. Glauber (Staff, Ex-Officio) Chairman and CEO NASD, Inc. 1735 K Street, NW Washington, DC 20006 Richard C. Romano (Industry)
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