

2002 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # F00000001419

1. Entity Name

NASD DISPUTE RESOLUTION, INC.

FILED
Apr 10, 2002 8:00 am
Secretary of State

04-10-2002 90446 046 ***150.00

05/9130 AT

Principal Place of Business

1735 K STREET, NW
WASHINGTON DC 20006

Mailing Address

9509 KEY WEST AVE
ATTN: FINANCE/TAXES
ROCKVILLE MD 20850

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

52-2187577

Applied For

Not Applicable

5. Certificate of Status Desired ☐**\$8.75** Additional
Fee Required

DO NOT WRITE IN THIS SPACE

6. Name and Address of Current Registered Agent

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

7. Name and Address of New Registered Agent

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, 2002 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

TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD FIENBERG, LINDA D 3125 BEECH STREET, N.W. WASHINGTON DC 20015	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	TD ALLEN, JAMES R 6112 GRANBY ROAD ROCKVILLE MD 20855	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SD CONLEY, JOAN C 1735 K ST, NW WASHINGTON DC 20006	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP ANDRICHK, KENNETH L 1735 K ST, NW WASHINGTON DC 20006	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP FRIEDMAN, GEORGE H 1735 K ST, NW WASHINGTON DC 20006	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D SEXTON, JOHN 40 WASHINGTON SQUARE, S NEW YORK NY 10012	<input type="checkbox"/> Delete

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
1735 K STREET, NW WASHINGTON, DC 20006	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
V/S BARBARA Z. SWEENEY 1735 K STREET, NW WASHINGTON, DC 20006	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
125 BROAD STREET NEW YORK, NY 10004	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
125 BROAD STREET NEW YORK, NY 10004	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> 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:

Barbara Z. Sweeney
 SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

BARBARA Z. SWEENEY

SVP & SECRETARY

3/21/02

Date

(240)386-5331

Daytime Phone #

CR2E034 (9/01)

F00000001419

CONFIDENTIAL

*Attachment
B0064505*

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

Attachment
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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)**
President
NASD Dispute Resolution, Inc.
1735 K Street, NW
Washington, D.C. 20006

John D. Markese **(Public)**
President
American Association of Individual Investors
625 N. Michigan Avenue – Suite 1900
Chicago, IL 60611

Robert R. Glauber **(Staff, Ex-Officio)**
Chairman and CEO
NASD, Inc.
1735 K Street, NW
Washington, DC 20006

Richard C. Romano **(Industry)**
President
Romano Brothers & Co.
One Rotary Center, Suite 1300
Evanston, IL 60201