

# 2004 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

**FILED**  
**May 03, 2004 8:00 am**  
**Secretary of State**

05-03-2004 90741 042 \*\*\*61.25

**DOCUMENT # F00000001419**

1. Entity Name  
**NASD DISPUTE RESOLUTION, INC.**



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

01072004

Chg-NP

CR2E037 (10/03)

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

**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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

**Filing Fee is \$61.25  
Due by May 1, 2004**

9. Election Campaign Financing  
Trust Fund Contribution. ☐

**\$5.00** May Be  
Added to Fees

**Make check payable to  
Florida Department of State**

## 10. OFFICERS AND DIRECTORS

TITLE PD ☐ Delete  
NAME FIENBERG, LINDA D  
STREET ADDRESS 1735 K ST. NW  
CITY-ST-ZIP WASHINGTON, DC 20006

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

TITLE VP ☐ Delete  
NAME ANDRICHK, KENNETH L  
STREET ADDRESS 165 BROADWAY  
CITY-ST-ZIP NEW YORK, NY 10006

TITLE EVP ☐ Delete  
NAME FRIEDMAN, GEORGE H  
STREET ADDRESS 165 BROADWAY  
CITY-ST-ZIP NEW YORK, NY 10006

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

TITLE ☐ Delete  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

## 11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

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

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

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

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

TITLE D ☐ Change ☒ Addition  
NAME SHARON P. SMITH  
STREET ADDRESS 70 DELAWARE AVENUE  
CITY-ST-ZIP HAWORTH, NJ 07641

TITLE D ☐ Change ☒ Addition  
NAME JOHN W. BACHMANN  
STREET ADDRESS 12555 MANCHESTER ROAD  
CITY-ST-ZIP ST. LOUIS, MO 63131

12. 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 617, Florida Statutes; and that my name appears in Block 10 or Block 11 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

(240) 386-5331

4/27/04 Date

Daytime Phone #

ATTACHMENT

CONFIDENTIAL

54048709  
FOOOOOOOO1419

## **NASD Dispute Resolution, Inc.**

**1735 K Street, NW, Washington, DC 20006**

### **Officers**

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

Kenneth L. Andrichik  
Senior Vice President  
One Liberty Plaza  
165 Broadway  
New York, NY 10006

George H. Friedman  
Executive Vice President  
One Liberty Plaza  
165 Broadway  
New York, NY 10006

Elizabeth Clancy  
Vice President  
One Liberty Plaza  
165 Broadway  
New York, NY 10006

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

Jean I. Feeney  
Vice President  
1735 K Street, NW  
Washington, DC 20006

Judith Hale Norris  
Vice President  
1735 K Street, NW  
Washington, DC 20006

ATTACHMENT

54048709  
# F00000001419

**NASD**

**NASD DISPUTE RESOLUTION, INC.  
Board of Directors**

Sharon P. Smith (**Public**), Chairperson  
Fordham University  
Dean, College of Business Administration  
**Mailing Address:**  
70 Delaware Avenue  
Haworth, NJ 07641

John W. Bachmann (**Industry**)  
Managing Partner  
Edward D. Jones & Company  
12555 Manchester Road  
St. Louis, MO 63131

John Rutherford, Jr. (**Public**)  
President and CEO  
Moody's Corporation  
99 Church Street  
New York, NY 10007

Linda D. Fienberg (**Staff**)  
President  
NASD Dispute Resolution, Inc.  
1735 K Street, NW  
Washington, D.C. 20006

Joel Seligman (**Public**)  
Dean  
Washington University School of Law  
One Brookings Drive  
St. Louis, MO 63130

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

Barbara Weaver (**Industry, NAC Chair**)  
Vice President, Legal & Compliance  
Howard Weil, Incorporated  
1100 Poydras Street, Suite 3500  
New Orleans, LA 70163