

**2005 NOT-FOR-PROFIT CORPORATION
ANNUAL REPORT**

FILED
Apr 26, 2005 8:00 am
Secretary of State

04-26-2005 90137 041 ****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



01122005 No Chg-NP

CR2E037 (10/03)

DO NOT WRITE IN THIS SPACE

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

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IN THIS SPACE**

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, 2005**

9. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

10. OFFICERS AND DIRECTORS

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

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

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

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

TITLE D
NAME SMITH, SHARON P
STREET ADDRESS 70 DELAWARE AVE
CITY-ST-ZIP HAWORTH, NJ 07641

TITLE D
NAME BACHMANN, JOHN W
STREET ADDRESS 12555 MANCHESTER RD.
CITY-ST-ZIP SAINT LOUIS, MO 63131

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IN THIS SPACE**

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:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

BARBARA Z. SWEENEY

SVP/SECRETARY

Date

4/13/05 (240) 386-5331

Daytime Phone #

ATTACHMENT

P 000000083979
~~CONFIDENTIAL~~

40066360

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

Dorothy A. Popp
Vice President
One Liberty Plaza
165 Broadway
New York, NY 10006

ATTACHMENT

NASD

Board of Governors

F0000000 (419)

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

William C. Alsover, Jr. **(Industry, Small Firm)**
Chairman
Centennial Securities Company, Inc.
3075 Charlevoix Drive SE
Grand Rapids, Michigan 49546

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

M. LaRae Bakerink **(Industry)**
Chief Executive Officer
WBB Securities, LLC
16835 West Bernardo Drive, Ste 203
San Diego, CA 92127

Charles A. Bowsher **(Public)**
Former Comptroller General of the U.S.
4503 Boxwood Road
Bethesda, MD 20816

John J. Brennan **(Non-Industry,
Investment Co.)**
Chairman and CEO
The Vanguard Group
100 Vanguard Boulevard
Malvern, PA 19355

Richard F. Brueckner **(Industry, Clearing Firm)**
Chief Executive Officer
Pershing LLC
One Pershing Plaza
95 Christopher Columbus Drive
Jersey City, NJ 07399

James E. Burton **(Public)**
Chief Executive Officer
World Gold Council
55 Old Broad Street
London EC2M 1RX
England

Sir Brian Corby **(Public)**
Chairman (retired)
Prudential Corporation plc
Fairings
Church End
Albury
Ware
Herts SG11 2JG
England

David A. DeMuro **(Industry, National Retail Firm)** Managing Director, Director of
Global Compliance and Regulation
Lehman Brothers, Inc.
399 Park Avenue, 11th Floor
New York, NY 10022

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NASD Board of Governors
Page Two

Kenneth M. Duberstein (Public)
Chairman and CEO
The Duberstein Group, Inc.
2100 Pennsylvania Ave., NW
Suite 500
Washington, DC 20037

William H. Heyman (Industry, Insurance Co.)
Executive Vice President and
Chief Investment Officer
The St. Paul Companies
Mail Code 511D
385 Washington Street
Saint Paul, MN 55102-1396

Eugene M. Isenberg (Non-Industry)
Chairman and CEO
Nabors Industries, Inc.
515 West Greens Road
Suite 1200
Houston, TX 77067-4525

Raymond A. Mason (Industry, Regional Retail Firm)
Chairman & CEO
Legg Mason, Inc.
100 Light Street
35th Floor
Baltimore, MD 21202

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

Mary L. Schapiro (Staff)
Vice Chairman, NASD
President, NASD Regulatory Policy and
Oversight Division
1735 K Street, NW
Washington, DC 20006

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

Brian T. Shea (Industry, NAC Chair)
Chief Operating Officer
Pershing LLC
One Pershing Plaza, 8th Floor
Jersey City, NJ 07399

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

NASD Staff Liaisons

T. Grant Callery
Executive Vice President and General Counsel
NASD
1735 K Street, N.W.
Washington, D.C. 20006

Barbara Z. Sweeney
Senior Vice President
and Corporate Secretary
NASD
1735 K Street, N.W.
Washington, D.C. 20006