

2006 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

FILED
Apr 14, 2006 8:00 am
Secretary of State

04-14-2006 90145 013 ****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

40048914



2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

01042006

Chg-NP

CR2E037 (11/05)

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

CORPORATE CREATIONS NETWORK INC.
11380 PROSPERITY FARMS RD #221E
PALM BEACH GARDENS, FL 33410

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, 2006

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

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

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

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

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

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

TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition

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TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition

NAME
STREET ADDRESS
CITY-ST-ZIP

12. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, 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, SVP

4/5/06

(240) 386-5331

Date

Daytime Phone #

ATTACHMENT

40048914
CONFIDENTIAL

#FD0000001419
NASD Dispute Resolution, Inc.
1735 K Street, NW, Washington, DC 20006
Officers

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

Barbara Brady
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

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

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

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

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

Richard Berry
Vice President & Director
One Liberty Plaza
165 Broadway
New York, NY 10006

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

Rose Schindler
Vice President
1735 K Street, NW
Washington, DC 20006

ATTACHMENT

NASD

40048914
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NASD

Board of Governors

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

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

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

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

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

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

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

NASD Board of Governors
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ATTACHMENT

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Tyler F. Dedman (**Public**)
United States Navy (retired)
350 Lakeview Avenue
Lake Mary, FL 32746

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

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

Joel Seligman (**Public**)
President
University of Rochester
240 Wallis Hall
Rochester, NY 14627

Brian J. Kovack (**Industry**)
President
Kovack Securities
6451 N. Federal Highway, Suite 1201
Ft. Lauderdale, FL 33308

John S. Simmers (**Industry, Independent
Financial Planning Firm**)
Chief Executive Officer
ING Advisors Network
200 North Sepulveda Boulevard, Suite 1200
El Segundo, CA 90245

Judith R. MacDonald (**Industry, NAC Chair**)
Managing Director
Rothschild, Inc.
1251 Avenue of the Americas
New York, NY 10020

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

Raymond A. Mason (**Industry, Regional
Retail Firm**)

Chairman & CEO
Legg Mason, Inc.
100 Light Street
35th Floor
Baltimore, MD 21202

NASD Staff Liaisons

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

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

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