


2007 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

FILED
Apr 30, 2007 8:00 am
Secretary of State

04-30-2007 90460 003 ****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
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2. Principal Place of Business - No P.O. Box #		3. Mailing Address	
Suite, Apt. #, etc.		Suite, Apt. #, etc.	
City & State		City & State	
Zip	Country	Zip	Country

03022007 Chg-NP CR2E037 (12/06)

4. FEI Number 52-2187577	Applied For <input type="checkbox"/> Not Applicable
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5. Certificate of Status Desired <input type="checkbox"/>	\$8.75 Additional Fee Required
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6. Name and Address of Current Registered Agent	
CORPORATE CREATIONS NETWORK INC. 11380 PROSPERITY FARMS RD #221E PALM BEACH GARDENS, FL 33410	

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, 2007	9. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/>	\$5.00 May Be Added to Fees	Make check payable to Florida Department of State
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10. OFFICERS AND DIRECTORS		11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD FIENBERG, LINDA D 1735 K ST. NW WASHINGTON, DC 20006 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPS SWEENEY, BARBARA Z 1735 K ST. NW WASHINGTON, DC 20006 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVP ANDRICHIK, KENNETH L 165 BROADWAY NEW YORK, NY 10006 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP FRIEDMAN, GEORGE H 165 BROADWAY NEW YORK, NY 10006 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D SMITH, SHARON P 70 DELAWARE AVE HAWORTH, NJ 07641 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition 11255 NORTH TORREY PINES ROAD LA JOLLA, CA 92037
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D BACHMANN, JOHN W 12555 MANCHESTER RD. SAINT LOUIS, MO 63131 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition

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, SVP** **4/24/2007** (240) 386-5331
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

ATTACHMENT

CONFIDENTIAL

40091624
#F00020001419

NASD Dispute Resolution, Inc.

1735 K Street, NW, Washington, DC 20006

Officers

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

Barbara L. 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 R. 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 M. Schindler
Vice President
1735 K Street, NW
Washington, DC 20006

NASD

ATTACHMENT

NASD
Board of Governors

40091624
#F000001419

Mary L. Schapiro (**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, National Retail Firm**)
Senior Partner
Edward 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

ATTACHMENT

40091624

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NASD Board of Governors
Page Two

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

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

W. Dennis Ferguson (**Industry, NAC Chair**)
Sterne Agee Clearing
980 North Federal Highway
Suite 108
Boca Raton, FL 33432

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

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

Sharon P. Smith (**Public**)
Provost & Vice President of Academic Affairs of
National University, and Vice Chancellor of
Academic Affairs of National University system
11255 North Torrey Pines Road
La Jolla, CA 92037

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

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 (retired)
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