

2003 NOT-FOR-PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # F00000001419

1. Entity Name
NASD DISPUTE RESOLUTION, INC.



03 APR -4 AM 6:31

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

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

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

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

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's signature required when reinstating)

DATE

FILE NOW FEE IS \$61.25

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

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

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

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

TITLE VP
NAME ANDRICHK, KENNETH L
STREET ADDRESS 125 BROAD ST.
CITY-STATE-ZIP NEW YORK, NY 10004 ☐ Delete

TITLE
NAME 165 BROADWAY
STREET ADDRESS NEW YORK, NY 10006
CITY-STATE-ZIP ☒ Change ☐ Addition

TITLE EVP
NAME FRIEDMAN, GEORGE H
STREET ADDRESS 125 BROAD ST.
CITY-STATE-ZIP NEW YORK, NY 10004 ☐ Delete

TITLE
NAME 165 BROADWAY
STREET ADDRESS NEW YORK, NY 10006
CITY-STATE-ZIP ☒ Change ☐ Addition

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

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

TITLE
NAME
STREET ADDRESS
CITY-STATE-ZIP ☐ Delete

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

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 Barbara Z. Sweeney

3/19/03

(240)386-5331

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CP2E037 (10/02)

Attachment

CONFIDENTIAL

90065737
F00000001419

202
W

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

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

George H. Friedman
Executive 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

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

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

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

Attachment

90065737
#FF0000001419

W
or
W

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

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

Brian T. Borders, Esq. (**Public**)
Mayer, Brown, Rowe & Maw
1909 K Street, NW
Washington, DC 20006-1101

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

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

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