

# 2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Feb 12, 2003 8:00 am**  
**Secretary of State**

02-12-2003 90096 036 \*\*\*150.00

**DOCUMENT # F94000006300**

1. Entity Name

**THE NASDAQ STOCK MARKET, INC.**



Principal Place of Business

**4 TIMES SQUARE  
NEW YORK NY 10036**

Mailing Address

**4 TIMES SQUARE  
NEW YORK NY 10036  
US**

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

**52-1165937**

Applied For

Not Applicable

5. Certificate of Status Desired ☐

**\$8.75** Additional  
Fee Required

☐ CHECK HERE IF MAKING CHANGES



6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**C T CORPORATION SYSTEM  
1200 S. PINE ISLAND RD.  
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 signature required when reinstating)

DATE

**FILE NOW!!! FEE IS \$150.00**

**After May 1, 2003 Fee will be \$550.00**

**Make Check Payable to Florida Department of State**

9. Election Campaign Financing  
Trust Fund Contribution. ☐

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

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**DVC  
BERKELEY III, ALFRED R  
1735 K STREET, NW  
WASHINGTON DC** ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**1801 K Street, NW  
Washington, DC 20006** ☒ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**P  
KETCHUM, RICHARD G  
1735 K STREET NW  
WASHINGTON DC 20006** ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**165 Broadway  
New York, NY 10006** ☒ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**SVPT  
DONOVAN, DARLENE J  
4 TIMES SQUARE  
NEW YORK NY 10036** ☒ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**SVP & T  
Ron Hassen  
165 Broadway  
New York, NY 10006** ☐ Change ☒ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**S  
CONLEY, JOAN C  
4 TIMES SQUARE  
NEW YORK NY 10036** ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**1801 K Street, NW  
Washington, DC** ☒ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**EVP  
FURBUSH, STEVEN DEAN  
4 TIMES SQUARE  
NEW YORK NY 10036** ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**165 Broadway  
New York, NY 10006** ☒ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
**SVP  
BALFOUR, CHARLES  
DURRANT HOUSE 8/13 CHISWELL ST.  
UNITED KINGDOM EC 1Y- 4XY** ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-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 607, 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:

*Michael J. Berman*  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

*Caramico Vill President 2/7/03*

Date

Daytime Phone #

CR2E034 (10/02)

Attachment

#F94000006300

80027465

| Name                    | Job Title                                   | Address 1                            |                      |
|-------------------------|---------------------------------------------|--------------------------------------|----------------------|
| Simmons, Hardwick       | Chief Executive Officer                     | 165 Broadway                         | NY, NY 10006         |
| Ketchum, Richard G      | President & Dep Chairman                    | 165 Broadway                         | NY, NY 10006         |
| Berkeley III, Alfred R  | Vice Chairman                               | 1801 K. St., NW                      | Washington, DC 20006 |
| Hilley, John            | Chairman/CEO, Nasdaq Int'l                  | 1801 K. St., NW                      | Washington, DC 20006 |
| Knight, Edward          | EVP and Chief Legal Officer                 | 1801 K. St., NW                      | Washington, DC 20006 |
| Friedman, Adena T       | Executive Vice President                    | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Furbush, Steven Dean    | Executive Vice President                    | 165 Broadway                         | NY, NY 10006         |
| Harts, William R.       | Executive Vice President                    | 165 Broadway                         | NY, NY 10006         |
| Jacobs, John L.         | Executive Vice President                    | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Randich, Steven J.      | Executive Vice President                    | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Stires, Denise B.       | Executive Vice President                    | 165 Broadway                         | NY, NY 10006         |
| Warren, David P.        | Executive Vice President & CFO              | 165 Broadway                         | NY, NY 10006         |
| Weid IV, David          | Vice Chairman & Executive Vice President    | 165 Broadway                         | NY, NY 10006         |
| Aber, Robert E          | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Balfour, Charles        | Senior Vice President                       | Durrant House, 8/13 Chriswell Str    | London, EC 1 Y 4XY   |
| Bosic, Donald H         | Senior Vice President                       | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Cagliano, James M.      | Senior Vice President                       | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Coburn, Theodore J.     | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Congdon, Lee A          | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Conley, Joan C          | Senior Vice President & Corporate Secretary | 1801 K. St., NW                      | Washington, DC 20006 |
| DeNat, Mark             | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Edleson, Michael        | Senior Vice President                       | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Emen, Michael S         | Senior Vice President                       | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Ewing, Anna M.          | Senior Vice President                       | 35 Nutmeg Drive                      | Trumbull, CT 06611   |
| Franks, Dan B.          | Senior Vice President                       | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Gonzalez, Richard P.    | Senior Vice President                       | 4 Times Square                       | NY, NY 10036         |
| Hassen, Ronald          | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Kebdile, Dennis J.      | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Kim, Edward             | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Lind, Richard N         | Senior Vice President                       | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Lopez, Eugene A.        | Senior Vice President                       | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Marie, Philip R.        | Senior Vice President                       | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| McGrew, Wesley W.       | Senior Vice President                       | 9513 Key West Avenue                 | Rockville, MD 20850  |
| O'Malley, Brian G.      | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Power, Robert H         | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Sherman Durkin, Bethany | Senior Vice President                       | 165 Broadway                         | NY, NY 10006         |
| Melamed, Alexander      | Vice President                              | 15 Exchange Place, Suite 320         | Jersey City NJ 07302 |
| Shah, Deepak            | Vice President                              | 15 Exchange Place, Suite 320         | Jersey City NJ 07302 |
| Andrews, Paul P.        | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Athey Jr., John P       | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Aust, Bruce E.          | Vice President                              | 2500 Sand Hill Road                  | Menlo Park CA 94025  |
| Bickner, Larry          | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Brendel, Diane B.       | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Buckingham, Michael L.  | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Buckis, Gregory W.      | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Bunch, Joseph           | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Byrne, Trevor           | Vice President                              | 35 Nutmeg Drive                      | Trumbull, CT 06611   |
| Caramico, Michael J.    | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Cardy, Thomas G         | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Catapano, Donald J      | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Conti, Diane C.         | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Conti, Laura A.         | Vice President                              | 4 Times Sq, 43rd & Broadway, 2nd Flr | NY, NY 10036         |
| Cosgriff, Barbara       | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Crowley, Daniel F.C.    | Vice President                              | 1801 K. St., NW                      | Washington, DC 20006 |
| Dagucon, Sheila L       | Vice President                              | 9509 Key West Avenue                 | Rockville, MD 20850  |
| Daniel, Phung T         | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Davin III, Thomas J.    | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Davis, Doreen Barr      | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| DeDuke, Lisa            | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Delta, John C           | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| DeLuca, Pasquale        | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Dunbar, Mary M.         | Vice President                              | 1801 K. St., NW                      | Washington, DC 20006 |
| Epstein, Jonathan       | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Faulkner, Glenn C       | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Gillespie, Sue A.       | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Guely, Robert G         | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Hanna, David A.         | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Hatheway, Frank M.      | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Healy, Gina S.          | Vice President                              | 125 Old Broad Street                 | London, EC2N 1HP     |
| Kelly, Margaret E       | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Licata, Elisa J.        | Vice President                              | 45 Commerce Drive                    | Trumbull, CT 06611   |
| Malitzis, John F.       | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Manco, Martha J.        | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Martyn, Peter J         | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Mincin, Mark P.         | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Misyak, Josephine       | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Moore, Douglas E.       | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Morgan, Edward J.       | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Orelup, Mary C.         | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Palmiere, Vincent E     | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Pfeiffer, Christine     | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Reitemeyer, Leslie S.   | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Richmann, James N.      | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Richmond, Kenneth M.    | Vice President                              | 35 Nutmeg Drive                      | Trumbull, CT 06611   |
| Serkin, Stuart R        | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |
| Smithwick, Sharon R     | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Spille, Christopher H   | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Stonehouse, Katchen M.  | Vice President                              | 9513 Key West Avenue                 | Rockville, MD 20850  |
| Storch, Stephen E       | Vice President                              | 1801 K. St., NW                      | Washington, DC 20006 |
| Sundick, Gary N.        | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Teague II, William T.   | Vice President                              | 9600 Blackwell Road                  | Rockville, MD 20850  |
| Tsafas, Michael G.      | Vice President                              | 35 Nutmeg Drive                      | Trumbull, CT 06611   |
| Vincent, Timothy W      | Vice President                              | 35 Nutmeg Drive                      | Trumbull, CT 06611   |
| Warburg, Paul J.        | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Wilson, S. Brian        | Vice President                              | 165 Broadway                         | NY, NY 10006         |
| Youngcourt, Michael J.  | Vice President                              | 80 Merritt Blvd.                     | Trumbull, CT 06611   |

Attachment

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The Nasdaq Stock Market, Inc.  
4 Times Square, NY, NY 10038  
Florida Uniform Business Report (Line 10)

| Directors          | Title            | Company                                      | Address                                                                 |
|--------------------|------------------|----------------------------------------------|-------------------------------------------------------------------------|
| Dr Josef Ackerman  |                  | Deutsche Bank AG                             | 31 West 52nd Street NY, NY 10019                                        |
| H. Furlong Baldwin |                  | Mercantile Bankshares Corporation            | 2 Hopkins Plaza Baltimore, MD 21202                                     |
| Frank Baxter       |                  | Jefferies Group, Inc.                        | 1100 Santa Monica Blvd 11th Floor Los Angeles, CA 90025                 |
| Michael Casey      |                  | Starbucks Corporation                        | 2401 Utah Ave. South Seattle, WA 98134                                  |
| Michael Clark      |                  | Credit Suisse First Boston                   | 11 Madison Ave. NY, NY 10010                                            |
| William Cohen      |                  | The Cohen Group                              | 600 Thirteenth ST., NW Suite 640 Washington, DC 20005                   |
| F. Warren Hellman  |                  | Hellman & Freeman LLC                        | One Maritime Plaza 12th Floor San Francisco, CA 94111                   |
| Richard Ketchum    |                  | The Nasdaq Stock Market, Inc.                | 165 Broadway, New York, NY 10006                                        |
| John Markese       |                  | American Association of Individual Investors | 625 N. Michigan Ave. Suite 1900 Chicago, IL 60611                       |
| E Stanley O'Neil   |                  | Merrill Lynch & Co Inc.                      | 4 World Financial Center 32nd Floor NY, NY 10036                        |
| Virkram Pandit     |                  | Morgan Stanley                               | 1681 Broadway 39th Floor NY, NY 10036                                   |
| Kenneth Pasternak  |                  | Knight Trading Group, Inc                    | 525 Washington Blvd Jersey City, NJ 07310                               |
| David Pottruck     |                  | The Charles Schwab Corporation               | 101 Montgomery Street mail Stop SF120KNY-30-211 San Francisco, CA 94104 |
| Arthur Rock        |                  | Arthur Rock & Co                             | One Maritime Plaza Suite 1220 San Francisco, CA 94111                   |
| Richard Romano     |                  | Ramano Brothers & Co                         | One Rotary Center Suite 1300 Evanston, IL 60201                         |
| Arvind Sodhani     |                  | Intel Corporation                            | 2200 Mission College Blvd FN5-24 Santa Clara, CA 95052-8119             |
| Sir Martin Sorrell |                  | WPP Group USA, Inc.                          | 125 Park Ave 4th Floor NY, NY 10017                                     |
| Hardwick Simmons   | chairman 9-30-01 | The Nasdaq Stock Market, Inc.                | 165 Broadway, New York, NY 10006                                        |