

2001 UNIFORM BUSINESS REPORT (UBR)**DOCUMENT # F97000006749**

1. Entity Name

NASD REGULATION, INC.

Principal Place of Business

1735 K ST., N.W.
WASHINGTON DC 20006

Mailing Address

15201 DIAMONDBACK DRIVE
FINANCE DEPT
ROCKVILLE MD 20850
US

2. Principal Place of Business

Suite, Apt. #, etc.

City & State

Zip

Country

3. Mailing Address

9509 Key West Avenue

Suite, Apt. #, etc.

Attn: Finance/Taxes

City & State
Rockville, MD 20850

Zip

Country

4. FEI Number

52-1959501

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

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.

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 \$61.25**9. Election Campaign Financing
Trust Fund Contribution. ☐**\$5.00** May Be
Added to Fees**Make Check Payable to
Department of State**

10. OFFICERS AND DIRECTORS

TITLE NAME STREET ADDRESS CITY-ST-ZIP	P SCHAPIRO, MARY L 1735 K ST., N.W. WASHINGTON DC 20006 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP FIENBERG, LINDA 1735 K ST., N.W. WASHINGTON DC 20006 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPS CONLEY, JOAN C 1735 K ST., N.W. WASHINGTON DC 20006 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D KAMEN, HARRY P 200 PARK AVENUE NEW YORK NY 10166 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPT ALLEN, JAMES R 1735 K ST., N.W. WASHINGTON DC 20006 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D GLAUBER, ROBERT R 79 JOHN F KENNEDY STREET CAMBRIDGE MA 02138 <input checked="" type="checkbox"/> Delete

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S BARBARA Z. SWEENEY 1735 K STREET, NW WASHINGTON, DC 20006 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input checked="" type="checkbox"/> Change <input type="checkbox"/> 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:

James R. Allen
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

James R. Allen

SVP & Treasurer

Date

4/12/01

(240)386-5282

Daytime Phone #

00049460



DO NOT WRITE IN THIS SPACE

CR2E037 (10/00)

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

Attachment DOC# F970000060749

Mary L. Schapiro	President
Linda D. Fienberg	Executive Vice President
Mary Alice Brophy	Executive Vice President
Barry R. Goldsmith	Executive Vice President
R. Clark Hooper	Executive Vice President
Elisse B. Walter	Executive Vice President & COO
Stephen I. Luparello	Executive Vice President
Alden S. Adkins	Senior Vice President & General Counsel
James R. Allen	Senior Vice President & Treasurer
George H. Friedman	Senior Vice President
John P. Nocella	Senior Vice President
Derek W. Linden	Senior Vice President
Gary K. Liebowitz	Senior Vice President
Daniel M. Sibears	Senior Vice President
Carlotta A. Romano	Senior Vice President
Thomas M. Selman	Senior Vice President
Barbara Z. Sweeney	Corporate Secretary
Susan Baumann	Vice President & Assistant Treasurer
Gregory B. Raymond	Vice President & Controller
David M. Fitzgerald	Vice President & Deputy Hearing Officer
Patrice M. Gliniecki	Vice President & Deputy General Counsel
Gary L. Tidwell	Vice President
Frank J. Birgfeld	Vice President
Warren A. Butler, Jr.	Vice President
James J. Cummings	Vice President
Cameron Funkhouser	Vice President
Joseph Furey	Vice President
Thomas R. Gira	Vice President
John H. Komoroske	Vice President
Frank J. McAuliffe	Vice President
David T. Miller	Vice President
John M. Ramsay	Vice President
Edward J. Morgan	Vice President
Roger B. Sherman	Vice President
Jeffrey S. Holik	Vice President
Elisabeth P. Owens	Vice President
Michael D. Wolk	Vice President

Attachment Doc # F97000004749

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

NASD Regulation, Inc. Subsidiary Board

C0049460

Todd A. Robinson, Chairman (**Industry**)
Chairman and Chief Executive Officer
LPL Financial Services
155 Federal Street
Boston, MA 02110

David A. DeMuro
Lehman Brothers, Inc.
101 Hudson Street
33rd Floor
Jersey City, NJ 07302

James S. Riepe (**Non-Industry**)
Vice Chairman
T. Rowe Price Associates, Inc.
100 East Pratt Street
Baltimore, MD 21202

Harry P. Kamen (**Non-Industry**)
Retired Chairman and CEO
Metropolitan Life Insurance Company
200 Park Avenue, Suite 5700
New York, NY 10166

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

Kenneth D. Pasternak (**Industry**)
President & Chief Executive Officer
Knight/Trimark Group, Inc.
515 Washington Boulevard
Jersey City, NJ 07310

Mary L. Schapiro (**Staff**)
President
NASD Regulation, Inc.
1735 K Street, NW
Washington, DC 20006

Robert R. Glauber
President & Chief Executive Officer
NASD, Inc.
1735 K Street, NW
Washington, DC 20006

Brian T. Borders (**Public**)
President Association of Publicly Traded
Companies
Mayer, Brown & Platt
1909 K Street, NW
Washington, DC 20006-1101

Donald J. Kirk (**Public**)
Executive-in-Residence
Columbia University Graduate School
of Business
Mailing Address: 40 Rockwood Lane
Greenwich, CT 06830

Sharon P. Smith (**Public**)
Fordham University
Dean, College of Business Administration
Rose Hill Campus, Faber Hall
Bronx, NY 10456-5166

M. LaRae Bakerink (**Industry**)
First Vice President & Chief Compliance Officer
Pacific American Securities, LLC
9191 Town Center Drive, Suite 406
San Diego, CA 92122