

2002 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

**9059 KEY WEST AVENUE
ATTN: FINANCE/TAXES
ROCKVILLE MD 20850
US**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

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.

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 \$61.259. Election Campaign Financing
Trust Fund Contribution. ☐**\$5.00** May Be
Added to Fees**Make Check Payable to
Department of State**

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

TITLE NAME STREET ADDRESS CITY-ST-ZIP	P SCHAPIRO, MARY L 1735 K ST., N.W. WASHINGTON DC 20006	☐ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	P/D	☒ Change ☐ Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP FIENBERG, LINDA 1735 K ST., N.W. WASHINGTON DC 20006	☐ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP		☐ Change ☐ Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S SWEENEY, BARBARA Z 1735 K ST., N.W. WASHINGTON DC 20006	☐ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	V/S	☒ Change ☐ Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D KAMEN, HARRY P 200 PARK AVENUE NEW YORK NY 10166	☐ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP		☐ Change ☐ Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPT ALLEN, JAMES R 1735 K ST., N.W. WASHINGTON DC 20006	☒ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP		☐ Change ☐ Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D ROBINSON, TODD A 155 FEDERAL STREET BOSTON MA 02110	☒ Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	D WILLIAM C. ALSOVER, JR. 3075 CHARLEVOIX DRIVE, SE GRAND RAPIDS, MI 49546	☐ 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**3/21/02****(240)386-5331**

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

SVP & SECRETARY

Date

Daytime Phone #

FILED
Apr 11, 2002 8:00 am
Secretary of State

04-11-2002 90099 024 ****61.25



DO NOT WRITE IN THIS SPACE

0093431

CR2E037 (9/01)

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

Mary L. Schapiro	President
Mary Alice Brophy	Executive Vice President
Linda D. Fienberg	Executive Vice President & CHO
Barry R. Goldsmith	Executive Vice President
R. Clark Hooper	Executive Vice President
Stephen I. Luparello	Executive Vice President
Elisse B. Walter	Executive Vice President & COO
Thomas R. Gira	Senior Vice President
Jeffrey S. Holik	Senior Vice President
Gary K. Liebowitz	Senior Vice President
Derek W. Linden	Senior Vice President
Frank J. McAuliffe	Senior Vice President
John P. Nocella	Senior Vice President
Thomas M. Selman	Senior Vice President
Cathleen Shine	Senior Vice President
Daniel M. Sibears	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Carlotta A. Romano	Senior Vice President
Susan Baumann	Vice President
Frank J. Birgfeld	Vice President
Warren A. Butler, Jr.	Vice President
James J. Cummings	Vice President
David M. Fitzgerald	Vice President & Deputy Chief Hearing Officer
Cameron Funkhouser	Vice President
Patrice M. Gliniecki	Vice President & Deputy General Counsel
John H. Komoroske	Vice President
Elisabeth P. Owens	Vice President
Roger B. Sherman	Vice President
Gary L. Tidwell	Vice President
Karrie F. Tunstall	Vice President
Richard G. Wallace	Vice President

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**NASD REGULATION, INC.
Board of Directors**

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

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

David A. DeMuro **(Industry)**
Managing Director, Director of
Global Compliance and Regulation
Lehman Brothers, Inc.
399 Park Avenue 11th Floor
New York, NY 10022

Donald J. Kirk **(Public)**
40 Rockwood Lane
Greenwich, CT 06830

M. LaRae Bakerink **(Industry)**
Chief Executive Officer
Westfield Bakerink Brozak, LLC
16835 West Bernardo Drive, Ste 203
San Diego, CA 92127

Kenneth M. Duberstein **(Public)**
Chairman and CEO
The Duberstein Group, Inc.
2100 Pennsylvania Ave., NW
Suite 500
Washington, DC 20037

James F. Rothenberg **(Non-Industry)**
President
Capital Research and Management Co.
333 South Hope Street – 52nd Floor
Los Angeles, CA 90071

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

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

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

Mr. Richard F. Brueckner **(Industry)**
Chief Operating Officer
Pershing Division of Credit
Suisse First Boston
One Pershing Plaza
Jersey City, NJ 07399

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