

2004 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

FILED
May 03, 2004 8:00 am
Secretary of State

05-03-2004 90741 041 ****61.25

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.

04192004 Chg-NP CR2E037 (10/03)

City & State

City & State

4. FEI Number
52-1959501

Applied For
Not Applicable

Zip

Country

Zip

Country

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 signature required when reinstating)

DATE

**Filing Fee is \$61.25
Due by May 1, 2004**

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 ☐ Delete
NAME SCHAPIRO, MARY L
STREET ADDRESS 1735 K ST., N.W.
CITY-ST-ZIP WASHINGTON, DC 20006

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

TITLE EVP ☐ Delete
NAME FIENBERG, LINDA
STREET ADDRESS 1735 K ST., N.W.
CITY-ST-ZIP WASHINGTON, DC 20006

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

TITLE SVPS ☐ Delete
NAME SWEENEY, BARBARA Z
STREET ADDRESS 1735 K ST., N.W.
CITY-ST-ZIP WASHINGTON, DC 20006

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

TITLE D ☐ Delete
NAME KAMEN, HARRY P
STREET ADDRESS 200 PARK AVENUE
CITY-ST-ZIP NEW YORK, NY 10166

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

TITLE D ☐ Delete
NAME ALSOVER, WILLIAM C JR.
STREET ADDRESS 3075 CHARLEVOIX DR S.E.
CITY-ST-ZIP GRAND RAPIDS, MI 49546

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

TITLE D ☐ Delete
NAME DEMURO, DAVID A
STREET ADDRESS 399 PARK AVE, 11TH FL
CITY-ST-ZIP NEW YORK, NY 10022

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

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:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

BARBARA Z. SWEENEY

(240) 386-5331

4/27/04

Daytime Phone #

51048110
F97000006749

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

[illegible]

NASD ATTACHMENT

**NASD REGULATION, INC.
Board of Directors**

54048710
F97066006749

Robert R. Glauber (**Staff, Ex-Officio***)
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**)
Chief Operating Officer
Pershing LLC
One Pershing Plaza
95 Christopher Columbus Drive
Jersey City, NJ 07399

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

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

James E. Burton (**Public**)
Chief Executive Officer
World Gold Council
55 Old Broad Street
London EC2M 1RX
England

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

John J. Brennan (**Non-Industry, Investment Co.**)
Chairman and CEO
The Vanguard Group
100 Vanguard Square
Malvern, PA 19355

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

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

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