

2007 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

FILED
Apr 30, 2007 8:00 am
Secretary of State

04-30-2007 90460 050 ****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 - No P.O. Box #

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

03022007 Chg-NP CR2E037 (12/06)

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

**CORPORATE CREATIONS NETWORK INC.
11380 PROSPERITY FARMS RD #221E
PALM BEACH GARDENS, FL 33410**

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, 2007**

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 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 BACHMANN, JOHN W
STREET ADDRESS 12555 MANCHESTER RD
CITY-ST-ZIP SAINT LOUIS, MO 63131

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

TITLE D ☐ Delete
NAME BRENNAN, JOHN J
STREET ADDRESS 100 VANGUARD BLVD
CITY-ST-ZIP MALVERN, PA 19355

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 exemptions contained in Chapter 119, 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, SVP 4/24/07 (240) 386-5331

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

ATTACHMENT
CONFIDENTIAL

40091625
#797000006749

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

Mary L. Schapiro	Chairman & CEO
Stephen I. Luparello	Senior Executive Vice President
Elisse B. Walter	Senior Executive Vice President
James J. Cummings	Executive Vice President
Robert C. Errico	Executive Vice President
Linda D. Fienberg	Executive Vice President & CHO
Thomas R. Gira	Executive Vice President & Deputy
Marc Menchel	Executive Vice President
Thomas M. Selman	Executive Vice President
James S. Shorris	Executive Vice President
Daniel M. Sibears	Executive Vice President & Deputy
David M. Fitzgerald	Senior Vice President & Deputy Chief Hearing Officer
Cameron Funkhouser	Senior Vice President
John M. Gannon	Senior Vice President
Patrice M. Gliniecki	Senior Vice President & Deputy General Counsel
Emily P. Gordy	Senior Vice President
Gary K. Liebowitz	Senior Vice President
Gene G. DeMaio	Senior Vice President
Hans-Linhard Reich	Senior Vice President
Carlotta A. Romano	Senior Vice President
David E. Rosenstein	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
P. Susan Baumann	Vice President
Timothy G. Coon	Vice President
Stephanie M. Dumont	Vice President
Rory C. Flynn	Vice President
Karrie E. Foley	Vice President
Gary L. Goldsholle	Vice President
Virginia F.M. (Jeannie) Jans	Vice President
Alton (Chip) Jones	Vice President
John H. Komoroske	Vice President
Alan B. Lawhead	Vice President
Holly L. Lokken	Vice President
Ivette Lopez	Vice President
Katherine A. Malfa	Vice President
Joseph M. McCarthy	Vice President
Eric Moss	Vice President
Susan C. Murdoch	Vice President
Daniel A. Nathan	Vice President
Thomas A. Pappas	Vice President

ATTACHMENT

CONFIDENTIAL

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NASD Regulation, Inc. Officers Continued

James F. Price
Joseph E. Price
Evan R. Rosser
David R. Sonnenberg
Richard G. Wallace
George F. Walz

Vice President
Vice President
Vice President
Vice President
Vice President
Vice President

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NASD
NASD
Board of Governors

ATTACHMENT

40091625

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Mary L. Schapiro (**Staff**)
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, Clearing Firm**)
Chief Executive Officer
Pershing LLC
One Pershing Plaza
95 Christopher Columbus Drive
Jersey City, NJ 07399

John W. Bachmann (**Industry, National Retail Firm**)
Senior Partner
Edward Jones & Company
12555 Manchester Road
St. Louis, MO 63131

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

Charles A. Bowsher (**Public**)
Former Comptroller General of the U.S.
4503 Boxwood Road
Bethesda, MD 20816

Sir Brian Corby (**Public**)
Chairman (retired)
Prudential Corporation plc
Fairings
Church End
Albury
Ware
Herts SG11 2JG
England

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

ATTACHMENT

NASD Board of Governors
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Tyler F. Dedman **(Public)**
United States Navy (retired)
350 Lakeview Avenue
Lake Mary, FL 32746

Joel Seligman **(Public)**
President
University of Rochester
240 Wallis Hall
Rochester, NY 14627

W. Dennis Ferguson **(Industry, NAC Chair)**
Sterne Agee Clearing
980 North Federal Highway
Suite 108
Boca Raton, FL 33432

John S. Simmers **(Industry, Independent
Financial Planning Firm)**
Chief Executive Officer
ING Advisors Network
200 North Sepulveda Boulevard, Suite 1200
El Segundo, CA 90245

William H. Heyman **(Non-Industry, Insurance
Co.)**
Vice Chairman and Chief Investment Officer
The St. Paul Travelers Companies, Inc.
Mail Code 511D
385 Washington Street
Saint Paul, MN 55102-1396

Sharon P. Smith **(Public)**
Provost & Vice President of Academic Affairs of
National University, and Vice Chancellor of
Academic Affairs of National University system
11255 North Torrey Pines Road
La Jolla, CA 92037

Brian J. Kovack **(Industry)**
President
Kovack Securities, Inc.
6451 N. Federal Highway, Suite 1201
Ft. Lauderdale, FL 33308

NASD Staff Liaisons

T. Grant Callery
Executive Vice President and General Counsel
NASD
1735 K Street, N.W.
Washington, D.C. 20006

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

Barbara Z. Sweeney
Senior Vice President
and Corporate Secretary
NASD
1735 K Street, N.W.
Washington, D.C. 20006