

2011 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# F97000006749

FILED
Mar 30, 2011
Secretary of State

Entity Name: FINRA REGULATION, INC.

Current Principal Place of Business:

1735 K STREET, NW
WASHINGTON, DC 20006

New Principal Place of Business:

Current Mailing Address:

9509 KEY WEST AVENUE
ATTN: FINANCE/TAX
ROCKVILLE, MD 20850 US

New Mailing Address:

FEI Number: 52-1959501 **FEI Number Applied For ()** **FEI Number Not Applicable ()** **Certificate of Status Desired ()**

Name and Address of Current Registered Agent:

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

Name and Address of New Registered Agent:

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: _____

Electronic Signature of Registered Agent

_____ Date

OFFICERS AND DIRECTORS:

Title: CCEO
Name: KETCHUM, RICHARD G
Address: 1735 K STREET, NW
City-St-Zip: WASHINGTON, DC 20006

Title: CFOT
Name: DIGANCI, TODD T
Address: 1735 K STREET, NW
City-St-Zip: WASHINGTON, DC 20006

Title: VC
Name: LUPARELLO, STEPHEN
Address: 1735 K STREET, NW
City-St-Zip: WASHINGTON, DC 20006

Title: SVPS
Name: ASQUITH, MARCIA E
Address: 1735 K STREET, NW
City-St-Zip: WASHINGTON, DC 20006

Title: D
Name: BOWSHER, CHARLES A
Address: 4503 BOXWOOD ROAD
City-St-Zip: BETHESDA, MD 20816

Title: D
Name: BRENNAN, JOHN J
Address: 400 DEVON PARK DRIVE
City-St-Zip: WAYNE, PA 19087

I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with all other like empowered.

SIGNATURE: MARCIA E. ASQUITH

SVPS

03/30/2011

_____ Electronic Signature of Signing Officer or Director

_____ Date

ATTACHMENT

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CONFIDENTIAL

F970000067
3-30-11**FINRA REGULATION, INC. (FINRA)****Address for All Officers Below: 1735 K Street, NW Washington, DC 20006
Officers**

Richard G. Ketchum	Chairman & Chief Executive Officer
Stephen Luparello	Senior Executive Vice President, Regulatory Operations
James P. Donovan	Senior Executive Vice President
Susan F. Axelrod	Executive Vice President, Sales Practice
J. Bradley Bennett	Executive Vice President & Chief Enforcement Officer
T. Grant Callery	Executive Vice President & General Counsel
Martin P. Colburn	Executive Vice President & Chief Technology Officer
James J. Cummings	Executive Vice President, CRD/Public Disclosure
Todd T. Diganci	Executive Vice President & Chief Financial Officer
Linda D. Fienberg	President, Dispute Resolution, EVP & Chief Hearing Officer
George H. Friedman	Executive Vice President, Dispute Resolution
Cameron K. Funkhouser	Executive Vice President, Fraud Detection & Market Intelligence
Samuel H. Gaer	Executive Vice President & Chief Information Officer
Thomas R. Gira	Executive Vice President, Market Regulation
Steven A. Joachim	Executive Vice President, Transparency Services
Derek W. Linden	Executive Vice President, CRD/Public Disclosure
John F. Malitzis	Executive Vice President, Member Trading/Administration
Robert A. Marchman	Executive Vice President, Legal Admin-NYSE
Marc Menchel	Executive Vice President & General Counsel
Howard M. Schloss	Executive Vice President, Corporate Communications
Thomas M. Selman	Executive Vice President, Investment Companies Regulation
James S. Shorris	Executive Vice President & Counsel, Enforcement
Daniel M. Sibears	Executive Vice President, Member Regulation Programs
Grace B. Vogel	Executive Vice President, Risk Oversight & Operational Regulation
James R. Allen	Senior Vice President, Finance
Kenneth L. Andrichik	Senior Vice President & Counsel, Dispute Resolution
Marcia E. Asquith	Senior Vice President & Corporate Secretary
Richard Berry	Senior Vice President, Dispute Resolution
Maurice Chavarria	Senior Vice President, Data Center Ops & Engineering
Gene G. DeMaio	Senior Vice President, Options Regulation
Stephanie M. Dumont	Senior Vice President & Counsel, Regulatory Practice & Policy
Eileen M. Famiglietti	Senior Vice President, Finance
Karrie E. Foley	Senior Vice President, CRD/Public Disclosure
John M. Gannon	Senior Vice President, Office of Investor Education
Patrice M. Gliniecki	Senior Vice President & Counsel, Regulatory Practice & Policy
Emily P. Gordy	Senior Vice President & Director of Policy, Enforcement
Tracy B. Johnson	Senior Vice President, Human Resources
Alton L. Jones, Jr.	Senior Vice President, Member Relations
Jon Kroeper	Senior Vice President, Quality of Markets, Member Regulation
Gary K. Liebowitz	Senior Vice President & Regional Director, North Region
Susan E. Light	Senior Vice President, Enforcement
Holly L. Lokken	Senior Vice President, Business Solutions
Cathy M. Mattax	Senior Vice President, Education & Training

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FINRA REGULATION, INC. Officers Continued

Address for All Officers Below: 1735 K Street, NW Washington, DC 20006

Joseph M. McCarthy	Senior Vice President, Regional Director, West Region
Angela A. Posillico	Senior Vice President, Regulatory Services, Technology
James F. Price	Senior Vice President, US Exchange Solutions
Joseph E. Price	Senior Vice President, Corporate Financing
Anand K. Ramtahal	Senior Vice President, Risk Oversight & Operational Regulation
Gregory B. Raymond	Senior Vice President, Technology Finance
Hans-Linhard Reich	Senior Vice President & Regional Director
Mark W. Rippe	Senior Vice President, Office of CTO
Carlotta A. Romano	Senior Vice President & Senior Regional Director
David E. Rosenstein	Senior Vice President & Counsel, Legal
Michael G. Ruffino	Senior Vice President, Sales Practice
Karen J. Sancio	Senior Vice President, Product Management
Stephen M. Schoeneman	Senior Vice President & Internal Audit
William J. Wollman	Senior Vice President, Risk Oversight & Operational Regulation
Robert L. Wood	Senior Vice President, Financial Planning
Paul P. Andrews	Vice President, International
Katri Arcaro	Vice President, RAD Technology
Mitchell C. Atkins	Vice President & Regional Director, Florida District
Julie W. Bauer	Vice President, Government Relations
P. Susan Baumann	Vice President & Chief Administrative Officer, Member Regulation
Barbara L. Brady	Vice President, Neutral Management
John E. Brady	Vice President, Infrastructure Engineering
Patricia A. Casimates	Vice President, Operations
Anthony J. Cavallaro	Vice President, Central Review Group
Nancy A. Condon	Vice President, Media Relations
Timothy G. Coon	Vice President, Market Regulation
Krisoula Dailey	Vice President, Risk Oversight & Operational Regulation
Phung Thi Daniel	Vice President, Business Solutions
Mario A. DiTrapani	Vice President, CRD/Public Disclosure
Carrie A. DiValerio	Vice President, Finance, Financial Planning
Samuel J. Draddy	Vice President, Office of Fraud Det & Mkt Int
Saman Michael Far	Vice President, Member Reg Technology
John J. Flood	Vice President & Counsel
Gary M. Ford	Vice President & Counsel
Cindy D. Foster-Nicholas	Vice President, Ombudsman
Robert L. (Len) Gatrell	Vice President, Market Regulation Technology
Angela C. Goelzer	Vice President & Counsel, Investment Companies Regulation
Martin E. Goldman	Vice President & Chief Counsel, Risk Oversight & Operational Regulation
Gary L. Goldsholle	Vice President & Counsel, Regulatory Practice & Policy
Jeremious Henderson	Vice President, HR Management
Ivy Ho	Vice President, Shared Services
Michael P. Hourigan	Vice President, Internal Auditor
Regina L. Jenkins	Vice President, Internal Auditor
Andrew L. Kagan	Vice President, Participant Services

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Page 3.**FINRA REGULATION, INC. Officers Continued****Address for All Officers Below: 1735 K Street, NW Washington, DC 20006**

John C. Kalohn	Vice President, Testing & Continuing Education
Robert B. Kaplan	Vice President, & District Office
John H. Komoroske	Vice President, Member Relations
Alan B. Lawhead	Vice President, Appellate Group
Thomas B. Lawson	Vice President, Chief Counsel, Enforcement
Ivette Lopez	Vice President, Office of Investor Education
Donald K. Lopezi	Vice President, Member Regulation – Shared Services
James M. McNamara	Vice President, Office of Disciplinary Affairs
Monique T. McNamara	Vice President, Communication Services
Helen J. Moore	Vice President & Counsel, Oversight Liaison
Eric J. Moss	Vice President & Director, Emerging Regulatory Issues
Steven K. Moxham	Vice President, Corporate Real Estate
Susan C. Murdoch	Vice President, Enforcement
Daniel A. Nathan	Vice President, Enforcement
Thomas A. Pappas	Vice President & Director, Advertising Regulation
Jeffery M. Pasquerella	Vice President, Member Regulation – Sales Practice
Andrew Perkins	Vice President & Counsel, Office of Chief Hearing Officers
Dorothy A. Popp	Vice President, Operations
Timothy J. Pupo	Vice President, Internal Audit
Aleksandra Radakovic	Vice President, Trade Exams & Special Reviews
Robert A. Renner	Vice President, Finance
Linda S. Riefberg	Vice President, Enforcement
Laura R. Rubinstein	Vice President, Treasury & Investments
Joseph P. Savage	Vice President, Investment Companies Regulation
Nanci L. Schimizzi	Vice President, Office of CTO
David R. Sonnenberg	Vice President, Enforcement
Peter Stoehr	Vice President, Trading & Market Making Surveillance – Admin
Christopher B. Stone	Vice President, Transparency Services
William R. Swanstrom	Vice President, Membership Gateway
Susan P. Tibbs	Vice President, Market Regulation
Gary L. Tidwell	Vice President, Office of Investor Education
Patrick G. Tominey	Vice President, Member Regulation
Justin J. Tubiolo	Vice President, Participant Services
Geraldine M. Walsh	Vice President & Chief Counsel, Office of Investor Education
George F. Walz	Vice President, Examination Programs
Marc T. Winkelstein	Vice President, US Exchange Solutions
James S. Wrona	Vice President, Associate General Counsel

ATTACHMENT DOCUMENT #: F97000006749**FINRA REGULATION, INC. (FINRA)
BOARD OF GOVERNORS / DIRECTORS****Richard G. Ketchum, Chairman**

Chief Executive Officer
FINRA
1735 K Street, NW
Washington, DC 20005

Jed Bandes

President
Mutual Trust Company of America Securities
2963 Gulf to Bay Blvd, Suite 330
Clearwater, FL 33759

James E. Burton

Partner
California Strategies, LLC
980 Ninth Street, Suite 2000
Sacramento, CA 95814

Joel Blumenschein

President
Freedom Investors Corporation
333 Bishops Way, Suite 122
Brookfield, WI 53005

Mark Casady

Chairman and CEO
LPL Financial
One Beacon Street, 22nd Floor
Boston, MA 02108

Charles A. Bowsher

Former Comptroller General of the U.S.
4503 Boxwood Road
Bethesda, MD 20818

John F. X. Dolan

Senior Advisor
Kellogg Specialist Group, LLC
834 Upper Hollow Road
Stowe, VT 05672 (802) 253-0042-cell

John J. Brennan

Chairman
The Vanguard Group, Inc.
400 Devon Park Drive
Wayne, PA 19087

W. Dennis Ferguson

Executive Vice President and Director of Clearing
Sterne, Agee & Leach, Inc.
1489 W. Palmetto Park Road, Suite 355
Boca Raton, FL 33486

Ellyn L. Brown

Brown & Associates
11055 Greenspring Avenue, Annex A
Lutherville, MD 21093

Harvey J. Goldschmid

Dwight Professor of Law
Columbia University Law School
435 West 116th Street, Room 520
New York, NY 10027

Richard F. Brueckner

Chairman and Chief Executive Officer
Pershing LLC
One Pershing Plaza
95 Christopher Columbus Drive
Jersey City, NJ 07399

William H. Heyman

Vice Chairman and Chief Investment Officer
The Travelers Companies, Inc.
Mail Code 511D
385 Washington Street
Saint Paul, MN 55102-1396

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Dr. Shirley Ann Jackson

President
Rensselaer Polytechnic Institute
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Troy, NY 12180-3590

Ken Norensberg

President & CEO
Four Points Capital Partners LLC
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Richard S. Pechter

Former Chairman
DLJ Financial Services Group & DLJ Direct
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New York, NY 10022

John W. Schmidlin

Former Managing Director & CTO
JP Morgan Chase
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Far Hills, NJ 07931
-or-
4665 Rue Belle Mer
Sanibel, FL 33957

Joel Seligman

President
University of Rochester
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Gary H. Stern

Former President, Federal Reserve Bank of
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Minneapolis, MN 55403

Kurt P. Stocker

Visiting Lecturer
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Seth H. Waugh

Chief Executive Officer
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New York, NY 10005

James D. Weddle

Managing Partner
Edward Jones
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FINRA Staff Liaisons:

Marcia E. Asquith

Senior Vice President and Corporate Secretary
1735 K Street, NW
Washington, DC 20006

T. Grant Callery

Executive Vice President and General Counsel
1735 K Street, NW
Washington, DC