

2003 NOT-FOR-PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Mar 31, 2003 8:00 am
Secretary of State

03-31-2003 90215 013 ****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.

City & State

City & State

Zip

Country

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

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

FILE NOW: FEE IS \$61.25

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

TITLE **SVP/SECRETARY** ☒ 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 **ROBINSON, TODD A**
STREET ADDRESS **155 FEDERAL STREET**
CITY-ST-ZIP **BOSTON MA 02110**

TITLE **D** ☐ Change ☒ Addition
NAME **DEMURO, DAVID A.**
STREET ADDRESS **399 PARK AVENUE, 11th FLOOR**
CITY-ST-ZIP **NEW YORK, NY 10022**

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 of Barbara Z Sweeney

BARBARA Z SWEENEY 3/18/03 (240) 386-5331

CR2E037 (10/02)

Attachment

CONFIDENTIAL

80066488
#F97000006749

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

Mary L. Schapiro
Robert C. Errico
Linda D. Fienberg
Barry R. Goldsmith
R. Clark Hooper
Stephen I. Luparello
Elisse B. Walter
Cameron Funkhouser
Thomas R. Gira
Jeffrey S. Holik
Gary K. Liebowitz
Frank J. McAuliffe
Marc Menchel
John P. Nocella
Elisabeth P. Owens
Carlotta A. Romano
Thomas M. Selman
Roger B. Sherman
Cathleen Shine
Daniel M. Sibears
Barbara Z. Sweeney
P. Susan Baumann
Warren A. Butler, Jr.
David M. Fitzgerald
Patrice M. Gliniecki
John H. Komoroske
Holly L. Lokken
Ivette Lopez
Katherine A. Malfa
James F. Price
Richard G. Wallace

President
Executive Vice President
Executive Vice President & CHO
Executive Vice President
Executive Vice President
Executive Vice President
Executive Vice President & COO
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President & General Counsel
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President
Senior Vice President & Deputy
Senior Vice President & Corporate Secretary
Vice President
Vice President
Vice President & Deputy Chief Hearing Officer
Vice President & Deputy General Counsel
Vice President
Vice President
Vice President
Vice President
Vice President
Vice President

Attachment

86066488
F97000006749

NASD

2003
NASD REGULATION, INC.
Board of Directors

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 Division of Credit Suisse First Boston
One Pershing Plaza
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
45 Pall Mall
London SW1Y 5JG
England

Douglas L. Kelly (**NAC Chair**)
A.G. Edwards & Sons, Inc.
One North Jefferson Avenue
St. Louis, MO 63103

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

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

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

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

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