

2007 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

FILED
Apr 23, 2007 8:00 am
Secretary of State

04-23-2007 90255 038 ****61.25

DOCUMENT # P18691

1. Entity Name
**NATIONAL ASSOCIATION OF SECURITIES DEALERS,
INC.**



Principal Place of Business
**1735 K STREET N. W.
WASHINGTON, DC 20006**

Mailing Address
**9509 KEY WEST AVE
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.

City & State

City & State

03022007 Chg-NP CR2E037 (12/06)

4. FEI Number
53-0088710

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
NAME
STREET ADDRESS
CITY-ST-ZIP
**CCEO
GLAUBER, ROBERT A
1735 K STREET, NW
WASHINGTON, DC 20006** ☒ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**CHAIRMAN & CEO
MARY L. SGHAPIRO
1735 K STREET, NW
WASHINGTON, DC 20006** ☒ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**EVPC
DIGANCI, TODD T
1735 K STREET, NW
WASHINGTON, DC 20006** ☐ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**SV
SWEENEY, BARBARA Z
1735 K STREET, NW
WASHINGTON, DC 20006** ☐ Delete

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

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

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**D
ALSOVER, WILLIAM C
3075 CHARLEVOIX DR SE
GRAND RAPIDS, MI 49546** ☐ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**D
BACHMANN, JOHN W
12555 MANCHESTER RD
SAINT LOUIS, MO 63131** ☐ Delete

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

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: *Eileen M. Famiglietti*

EILEEN M. FAMIGLIETTI, SVP

(240) 386-5331

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

ATTACHMENT

40077087

CONFIDENTIAL

P18691

NASD

1735 K Street, NW, Washington, DC 20006

Officers

Mary L. Schapiro	Chairman & CEO
Douglas H. Shulman	Vice Chairman & President, Markets, Services & Information
Linda D. Fienberg	President, Dispute Resolution, EVP & Chief Hearing Officer
Michael D. Jones	Senior Executive Vice President & Chief Admin. Officer
Stephen I. Luparello	Senior Executive Vice President
Elisse B. Walter	Senior Executive Vice President
Todd T. Diganci	Executive Vice President & Chief Financial Officer
T. Grant Callery	Executive Vice President & General Counsel
Martin P. Colburn	Executive Vice President & Chief Technology Officer
James J. Cummings	Executive Vice President
Robert C. Errico	Executive Vice President
George H. Friedman	Executive Vice President & Director
Thomas R. Gira	Executive Vice President & Deputy
Steven A. Joachim	Executive Vice President
Derek W. Linden	Executive Vice President & Chief Data Officer
Marc Menchel	Executive Vice President & General Counsel
Howard M. Schloss	Executive Vice President
Thomas M. Selman	Executive Vice President
James S. Shorris	Executive Vice President
Daniel M. Sibears	Executive Vice President & Deputy
James R. Allen	Senior Vice President
Kenneth L. Andrichik	Senior Vice President & Director
Richard A. Bachman	Senior Vice President
Nick Bannister	Senior Vice President & Managing Director
Gene G. DeMaio	Senior Vice President
Eileen M. Famiglietti	Senior Vice President & Corporate Controller
David M. Fitzgerald	Senior Vice President & Deputy Chief Hearing Officer
Lawrence E. Fitzpatrick	Senior Vice President
Cameron K. 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 & Regional Director
Cathy M. Mattax	Senior Vice President
Gregory B. Raymond	Senior Vice President
Everett French Reese	Senior Vice President & Chief of Staff
Hans-Linhard Reich	Senior Vice President & Regional Director

ATTACHMENT

CONFIDENTIAL

Page 2. NASD Officers Continued

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Mark W. Rippe	Senior Vice President
Carlotta A. Romano	Senior Vice President & Regional Director
David E. Rosenstein	Senior Vice President & Counsel
Daniel S. Shook	Senior Vice President
Barbara Z. Sweeney	Senior Vice President & Corporate Secretary
Catherine C. Tighe	Senior Vice President
Boris A. Wessley	Senior Vice President & Chief Investment Officer
Robert L. Wood	Senior Vice President
Scott C. Anderson	Vice President
Paul P. Andrews	Vice President & Deputy Managing Director
Marcia E. Asquith	Vice President & Deputy Corporate Secretary
P. Susan Baumann	Vice President & Chief Administrative Officer
Richard Berry	Vice President & Director
Barbara L. Brady	Vice President
Casey M. Carter	Vice President
Patricia A. Casimates	Vice President
Elizabeth R. Clancy	Vice President & Regional Director
Nancy A. Condon	Vice President
Timothy G. Coon	Vice President
Phung Thi Daniel	Vice President
Jonathan M. Davis	Vice President
John C. DeSaix	Vice President
Stephanie M. Dumont	Vice President & Associate General Counsel
Saman M. Far	Vice President
Jean I. Feeney	Vice President & Chief Counsel
John J. Flood	Vice President & Associate General Counsel
Rory C. Flynn	Vice President & Chief Litigation Counsel
Karrie E. Foley	Vice President
Robert L. (Len) Gatrell	Vice President
Gary L. Goldsholle	Vice President & Counsel
Helena Light Hadley	Vice President
Michael P. Hourigan	Vice President & Assistant General Auditor
Virginia F.M. (Jeannie) Jans	Vice President & District Director
Alton L. (Chip) Jones	Vice President
John H. Komoroske	Vice President & Senior Advisor to the CEO
Alan B. Lawhead	Vice President
Holly L. Lokken	Vice President

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NASD Officers Continued

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Ivette Lopez	Vice President
Joseph M. McCarthy	Vice President
Monique T. McNamara	Vice President
Katherine A. Malfa	Vice President & Counsel
Eric Moss	Vice President
Susan C. Murdoch	Vice President
Daniel A. Nathan	Vice President
Judith Hale Norris	Vice President & Regional Director
Thomas A. Pappas	Vice President & Director
Rodger D. Pinder	Vice President
Dorothy A. Popp	Vice President
James F. Price	Vice President
Joseph E. Price	Vice President
Timothy J. Pupo	Vice President & Director
Evan R. Rosser	Vice President & Director
Karen J. Sancilio	Vice President
Joseph P. Savage	Vice President
Nanci L. Schimizzi	Vice President
Rose M. Schindler	Vice President & Regional Director
David R. Sonnenberg	Vice President
William Bernard Thompson	Vice President & Ombudsman
Gary L. Tidwell	Vice President
Justin J. Tubiolo	Vice President
Richard G. Wallace	Vice President & Counsel
George F. Walz	Vice President & Director
John P. Withington	Vice President

NASD
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NASD
Board of Governors 40077087
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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

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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