

# 2011 NOT-FOR-PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# P18691

FILED  
Mar 30, 2011  
Secretary of State

**Entity Name:** FINANCIAL INDUSTRY REGULATORY AUTHORITY, 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:** 53-0088710      **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: ROBERT A. RENNER

VP

03/30/2011

\_\_\_\_\_  
Electronic Signature of Signing Officer or Director

\_\_\_\_\_  
Date

ATTACHMENT DOCUMENT #: P18691

CONFIDENTIAL

P18691  
3-30-11

**FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA)**  
**Address for All Officers Below: 1735 K Street, NW Washington, DC 20006**  
**FINRA Executive Officers**

Richard G. Ketchum  
Stephen Luparello  
Marcia E. Asquith  
Susan F. Axelrod  
J. Bradley Bennett  
T. Grant Callery  
Martin P. Colburn  
Todd T. Diganci  
Linda D. Fienberg  
Samuel H. Gaer  
John M. Gannon  
Tracy Johnson  
Marc Menchel  
Howard M. Schloss  
Thomas M. Selman  
Grace B. Vogel

Chairman & Chief Executive Officer  
Vice Chairman  
Senior Vice President & Corporate Secretary  
Executive Vice President, Member Regulation Sales Practice  
Executive Vice President, Enforcement  
Executive Vice President & General Counsel  
Executive Vice President & Chief Technology Officer  
Executive Vice President & Chief Financial Officer  
President, Dispute Resolution, EVP & Chief Hearing Officer  
Chief Information Officer & Executive Vice President, Business Services  
Senior Vice President, Office of Investor Education  
Senior Vice President, Human Resources  
Executive Vice President & General Counsel, Regulation  
Executive Vice President, Corporate Communications & Govt. Relations  
Executive Vice President, Regulatory Policy  
Executive Vice President, Member Regulation

**ATTACHMENT DOCUMENT #: P18691****FINANCIAL INDUSTRY REGULATORY AUTHORITY, 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, 22<sup>nd</sup> Floor  
Boston, MA 02108

**Charles A. Bowsher**

Former Comptroller General of the U.S.  
4503 Boxwood Road  
Bethesda, MD 20816

**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

**Eliyn 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

**ATTACHMENT DOCUMENT #: P18691**

**Dr. Shirley Ann Jackson**

President  
Rensselaer Polytechnic Institute  
110 Eighth Street  
Troy Building, 3<sup>rd</sup> Floor  
Troy, NY 12180-3590

**Ken Norensberg**

President & CEO  
Four Points Capital Partners LLC  
29 Frost Lane  
Lawrence, NY 11559

**Richard S. Pechter**

Former Chairman  
DLJ Financial Services Group & DLJ Direct  
500 Park Avenue, Apt. 33B  
New York, NY 10022

**John W. Schmidlin**

Former Managing Director & CTO  
JP Morgan Chase  
15 Springcroft Road  
Far Hills, NJ 07931

-or-  
4665 Rue Belle Mer  
Sanibel, FL 33957

**Joel Seligman**

President  
University of Rochester  
240 Wallis Hall  
Rochester, NY 14627

**Gary H. Stern**

Former President, Federal Reserve Bank of  
Minneapolis  
1727 Humboldt Avenue, S  
Minneapolis, MN 55403

**Kurt P. Stocker**

Visiting Lecturer  
Northwestern University  
990 Bear Ridge Road  
Westcliffe, CO 81252

**Seth H. Waugh**

Chief Executive Officer  
Deutsche Bank Americas  
60 Wall Street 46th Floor  
New York, NY 10005

**James D. Weddle**

Managing Partner  
Edward Jones  
12555 Manchester Road  
St. Louis, Mo 63131

**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