

**2021 FOREIGN NOT FOR PROFIT CORPORATION ANNUAL REPORT**

DOCUMENT# F97000006749

**Entity Name:** FINRA REGULATION, INC.**Current Principal Place of Business:**1735 K STREET, NW  
WASHINGTON, DC 20006**Current Mailing Address:**9509 KEY WEST AVENUE  
ATTN: FINANCE/TAX  
ROCKVILLE, MD 20850 US**FEI Number:** 52-1959501**Certificate of Status Desired:** No**Name and Address of Current Registered Agent:**CORPORATION SERVICE COMPANY  
1201 HAYS STREET  
TALLAHASSEE, FL 32301-2525 US*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**Officer/Director Detail :**

Title           TREASURER, EVP, CFO  
Name           DIGANCI, TODD T  
Address        1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title           EVP  
Name           WOLLMAN, BILL  
Address        1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title           DIRECTOR  
Name           NAGENGAST, JAMES D  
Address        12325 PORT GRACE BLVD  
City-State-Zip: LA VISTA NE 68128

Title           SVP  
Name           WALSH, GERALDINE M  
Address        1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title           SECRETARY, EVP  
Name           ASQUITH, MARCIA E  
Address        1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title           DIRECTOR  
Name           KOVACK ESQ., BRIAN J  
Address        6451 N FEDERAL HWY, STE 1201  
City-State-Zip: FORT LAUDERDALE FL 33308

Title           DIRECTOR  
Name           PLOSSER, CHARLES I  
Address        9 LAUREL OAK RD  
City-State-Zip: AMELIA ISLAND FL 32034

Title           DIRECTOR  
Name           WEBBER, AMY L  
Address        1776 PLEASANT PLAIN RD  
City-State-Zip: FAIRFIELD IA 52556

**Continues on page 2**

*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**SECRETARY****04/29/2021**\_\_\_\_\_  
Electronic Signature of Signing Officer/Director Detail\_\_\_\_\_  
Date

**Officer/Director Detail Continued :**

Title	SVP
Name	SOKOBIN, JONATHAN S
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	MURPHY, KATHLEEN A
Address	200 SEAPORT BLVD, V7A
City-State-Zip:	BOSTON MA 02210
Title	CHIEF LEGAL OFFICER, EVP
Name	COLBY, ROBERT
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	CEO, PRESIDENT, DIRECTOR
Name	COOK, ROBERT W.
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	SALE, HILLARY A.
Address	600 NEW JERSEY AVE, NW
City-State-Zip:	WASHINGTON DC 20001
Title	SVP
Name	DEAN JR., GREGORY J
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	DRUMMOND, LANCE F
Address	14263 NOLEN LANE
City-State-Zip:	CHARLOTTE NC 28277
Title	DIRECTOR
Name	BUSETTE, CAMILLE M.
Address	1775 MASSACHUSETTS AVENUE, NW
City-State-Zip:	WASHINGTON DC 20036
Title	DIRECTOR
Name	TAFARA, ETHIOPIIS
Address	2121 PENNSYLVANIA AVENUE, NW
City-State-Zip:	WASHINGTON DC 20433
Title	DIRECTOR
Name	MURPHY, LINDE
Address	950 EAST BASSE ROAD
City-State-Zip:	SAN ANTONIO TX 78209
Title	VP

Title	DIRECTOR
Name	EHNES, JOHN
Address	100 WATERFRONT PLACE
City-State-Zip:	WEST SACRAMENTO CA 95605
Title	EVP
Name	BERRY, RICHARD W
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	EVP, CIO
Name	RANDICH, STEVEN J
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	MURRAY, EILEEN K.
Address	400 NYALA FARMS RD
City-State-Zip:	WESTPORT CT 06880
Title	DIRECTOR
Name	SCHEVE, TIMOTHY C
Address	1717 ARCH ST, FL 22
City-State-Zip:	PHILADELPHIA PA 19103
Title	EVP
Name	HAVLIK, BARI
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	PIERCE, PAIGE W
Address	8955 S TAFT HILL DR SUITE 100
City-State-Zip:	SANDY UT 84093
Title	DIRECTOR
Name	FLINT, CHRISTOPHER W.
Address	3120 139TH AVENUE SE SUITE 300
City-State-Zip:	BELLEVUE WA 98005
Title	SVP
Name	HOPPER, JESSICA
Address	1735 K STREET, NW
City-State-Zip:	WASHINGTON DC 20006
Title	DIRECTOR
Name	FISHER, PETER R.
Address	100 TUCK HALL DARTMOUTH COLLEGE
City-State-Zip:	HANOVER NH 03755
Title	DIRECTOR
Name	DOMBAY, DENISE

Name RENNER, ROBERT A.  
Address 1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR  
Name NOLL, ERIC  
Address 401 E. CITY AVENUE #815  
City-State-Zip: BALA CYNWYD PA 19004

Title SENIOR VICE PRESIDENT/CHO  
Name DELANEY, MAUREEN  
Address 1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title EXECUTIVE VICE PRESIDENT  
Name WASHINGTON, RAINIA L  
Address 1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006

Title DIRECTOR  
Name LANTON, WENDY  
Address 35 PINELAWN ROAD  
SUITE 101E  
City-State-Zip: MELVILLE NY 11747

Address 1200 CALIFORNIA STREET  
APT 19C  
City-State-Zip: SAN FRANCISCO CA 94109

Title DIRECTOR  
Name RUEMMLER, KATHRYN  
Address 200 WEST STREET  
City-State-Zip: NEW YORK NY 10282

Title DIRECTOR  
Name JENSEN, DIRECTOR  
Address ONTARIO SECURITIES COMMISSION  
117 CAMERON STREET  
City-State-Zip: THORNBURY ONTARIO N0H 2P0

Title EXECUTIVE VICE PRESIDENT  
Name DUMONT, STEPHANIE  
Address 1735 K STREET, NW  
City-State-Zip: WASHINGTON DC 20006