



**State of Rhode Island and Providence Plantations
Office of the Secretary of State**

Fee: \$20.00

Corporations Division
148 W. River Street
Providence, Rhode Island 02904-2615
Telephone: (401) 222-3040

**Foreign Non-Profit
Annual Report**

Filing Period: June 1 - June 30

In accordance with R.I.G.L. 7-6-94, each corporation failing or refusing to file its annual report within the time prescribed by law (R.I.G.L. 7-6-91) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2009

1. Corporate ID No. 000092575

2. Name of Corporation FINRA Regulation, Inc.

3. State of Incorporation

State: DE

4. Corporate Address in Rhode Island

No. and Street: NONE

City or Town: PROVIDENCE

State: RI

Zip: 02904 Country: USA

5. Foreign Corporation. Enter Principal Office Address

No. and Street: CORPORATE CREATIONS NETWORK, INC.

3411 SILVERSIDE ROAD, RODNEY BUILDING # 104

City or Town: WILMINGTON State: DE Zip: 19810 Country: USA

6. Brief Description of the Character of the Affairs Which are Actually Conducted in Rhode Island

AN INDEPENDENT SUBSIDIARY OF THE NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
SECRETARY & SVP	MARCIA E. ASQUITH	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	ROBERT C. ERRICO	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR/CEO/CHAIRMAN	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
VICE CHAIRMAN	STEPHEN LUPARELLO	1735 K STREET, NW WASHINGTON, DC 20006 USA
CFO & EVP	TODD T. DIGANCI	1735 K STREET, NW WASHINGTON, DC 20006 USA
CEO & CHAIRMAN	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	RICHARD F. BRUECKNER	95 CHRISTOPHER COLUMBUS DRIVE JERSEY CITY, NJ 07399 USA
DIRECTOR	CHARLES A. BOWSHER	4503 BOXWOOD ROAD BETHESDA, MD 20816 USA
DIRECTOR	JOHN J. BRENNAN	100 VANGUARD BLVD MALVERN, PA 19355 USA
DIRECTOR	ELLYN L. BROWN	11055 GREENSPRING AVENUE LUTHERVILLE, MD 21093 USA

8. REGISTERED AGENT IN RHODE ISLAND - DO NOT ALTER
Changes Require Filing of Form 641 - R.I.G.L. 7-6-13 / 7-6-78

CORPORATE CREATIONS NETWORK INC. 7 EVA LANE CRANSTON , RI 02921-

9. This report must be signed by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver, or Trustee.

Signed this 27 Day of May, 2009 at 1:31:08 PM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By MARCIA E. ASQUITH
Signature of Officer of the Corporation

☐ President or ☐ Vice President or ☒ Secretary or ☐ Assistant Secretary or
☐ Treasurer or ☐ Receiver or ☐ Trustee (check one)

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in Section 7.

