



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

Fee: \$20.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(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: 2012

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: 1735 K STREET, NW
City or Town: WASHINGTON State: DC Zip: 20006 Country:

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
TREASURER, CFO & EVP	TODD T. DIGANCI	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	SUSAN F. AXELROD	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	GRACE B. VOGEL	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
SECRETARY & SVP	MARCIA E. ASQUITH	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	J. BRADLEY BENNETT	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	T.GRANT CALLERY	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP & CTO	MARTIN P. COLBURN	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP & CHO	LINDA D. FIENBERG	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	TRACY JOHNSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	HOWARD M SCHLOSS	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	THOMAS M. SELMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
VICE PRESIDENT	GERALDINE M. WALSH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	JED E. BANDES	2963 GULF TO BAY BLVD CLEARWATER, FL 33759 USA
DIRECTOR	CHARLES A. BOWSHER	4503 BOXWOOD ROAD BETHESDA, MD 20816 USA
DIRECTOR	JOHN J. BRENNAN	400 DEVON PARK DRIVE WAYNE, PA 19087 USA
DIRECTOR	JAMES E. BURTON	1655 13TH AVENUE SACRAMENTO, CA 95818 USA
DIRECTOR	MARK S. CASADY	ONE BEACON STREET BOSTON, MA 02108 USA
DIRECTOR	JOHN F.X. DOLAN	834 UPPER HOLLOW ROAD STOWE, VT 05672 USA
DIRECTOR	W. DENNIS FERGUSON	1489 W PALMETTO PARK RD BOCA RATON, FL 33486 USA
DIRECTOR	GREGORY J. FLEMING	1585 BROADWAY NEW YORK, NY 10019 USA
DIRECTOR	HARVEY J. GOLDSCHMID	435 WEST 116TH STREET NEW YORK, NY 10027 USA
DIRECTOR	WILLIAM H. HEYMAN	385 WASHINGTON STREET SAINT PAUL, MN 55102 USA
DIRECTOR	DR. SHIRLEY ANN JACKSON	110 EIGHTH STREET TROY, NY 12180 USA
DIRECTOR	KEN NORENSBERG	29 FROST LANE LAWRENCE, NY 11559 USA
DIRECTOR	RICHARD S. PECHTER	500 PARK AVENUE NEW YORK, NY 10022 USA
DIRECTOR	JOHN W. SCHMIDLIN	15 SPRINGCROFT ROAD FAR HILLS, NJ 07931 USA
DIRECTOR	JOEL SELIGMAN	240 WALLIS HALL ROCHESTER, NY 14627 USA

DIRECTOR	GARY H. STERN	1727 HUMBOLDT AVENUE MINNEAPOLIS, MN 55403 USA
DIRECTOR	KURT P. STOCKER	630 ZUNI COURT TAOS, NM 87571 USA
DIRECTOR	SETH H. WAUGH	60 WALL STREET NEW YORK, NY 10005 USA
DIRECTOR	JAMES D. WEDDLE	12555 MANCHESTER ROAD ST. LOUIS, MO 63131 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 5 Day of June, 2012 at 3:57:52 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, SVP & CORPORATE SECRETARY
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.

Form No. 631
Revised 09/07

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