



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: 2014

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: 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
EVP	THOMAS M. SELMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROCHELLE LAZARUS	636 11TH AVENUE NEW YORK, NY 10036 USA
DIRECTOR	LESLIE SEIDMAN	10 BEECHWOOD LANE WESTPORT, CT 06880 USA
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
DIRECTOR/CEO/CHAIRMAN	RICHARD G. KETCHUM	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	GREGORY AHERN	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF LEGAL OFFICER	ROBERT COLBY	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF HEARING OFFICER	LINDA D. FIENBERG	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	THOMAS GIRA	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP & CIO	STEVEN J. RANDICH	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	JONATHAN S. SOKOBIN	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	GERALDINE M. WALSH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	KURT P. STOCKER	8115 MAIN STREET BOKEELIA, FL 33922 USA
DIRECTOR	LUIS M. VICEIRA	BAKER LIBRARY 367 BOSTON, MA 02163 USA
CHIEF RISK OFFICER	CARLO V. DI FLORIO	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	STEVEN A. JOACHIM	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	MICHAEL RUFINO	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	BILL WOLLMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	CAMERON FUNKHOUSER	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	TRACY JOHNSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROBERT KEENAN, JR.	1609 WEST MAIN STREET RUSSELLVILLE, AR 72801 USA
DIRECTOR	BRIGITTE C. MADRIAN	79 JFK STREET CAMBRIDGE, MA 02138 USA
DIRECTOR	GREGORY J. FLEMING	1585 BROADWAY NEW YORK, NY 10019 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	SETH H. WAUGH	60 WALL STREET NEW YORK, NY 10005 USA
DIRECTOR	JAMES D. WEDDLE	12555 MANCHESTER ROAD

		ST. LOUIS, MO 63131 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	KEN NORENSBERG	29 FROST LANE LAWRENCE, NY 11559 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	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	KEVIN A. CARRENO	300 SOUTH ORANGE AVENUE ORLANDO, FL 32801 USA
DIRECTOR	MARK S. CASADY	75 STATE STREET BOSTON, MA 02109 USA
DIRECTOR	CAROL A. DAVIDSON	4851 BONITA BAY BLVD BONITA SPRINGS, FL 34134 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, duly Authorized Representative, Receiver, or Trustee.**

**Signed this 12 Day of May, 2014 at 11:17:43 AM by the authorized person. *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 company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-6.***

By MARCIA E. ASQUITH, SVP & CORP. SECRETARY  
Signature of Authorized Person

Form No. 631  
Revised 09/07