



**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:** 2015

**1. Corporate ID No.** 000065248

**2. Name of Corporation** Financial Industry Regulatory Authority, Inc.

**3. State of Incorporation**

State: DE

**4. Corporate Address in Rhode Island**

No. and Street: 222 JEFFERSON BOULEVARD  
SUITE 200

City or Town: WARWICK

State: RI Zip: 02888 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**

NON PROFIT ASSOCIATION OF SECURITIES DEALERS

**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	J. BRADLEY BENNETT	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	THOMAS GIRA	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	THOMAS M. SELMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF RISK OFFICER	CARLO V. DI FLORIO	1735 K STREET, NW

		WASHINGTON, DC 20006 USA
DIRECTOR	ROCHELLE LAZARUS	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	LUIS M VICEIRA	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	LESLIE F SEIDMAN	1735 K STREET, NW WASHINGTON , DC 20006 USA
EVP & CIO	STEVEN J. RANDICH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR/CEO/CHAIRMAN	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF ECONOMIST	JONATHAN S SOKOBIN	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	WILLIAM H HEYMAN	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	RICHARD S PECHTER	1735 K STREET, NW WASHINGTON , DC 20006 USA
CFO, EVP	TODD T DIGANCI	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	MARK S CASADY	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	CAROL A DAVIDSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	KEVIN A CARRENO	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	JAMES D WEDDLE	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	GREGORY J FLEMING	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	BRIGITTE C MADRIAN	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	ROBERT KEENAN JR	1735 K STREET, NW WASHINGTON , DC 20006 USA
SVP	JONATHAN S. SOKOBIN	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	TRACY JOHNSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	SETH W WAUGH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	W DENNIS FERGUSON	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	JOHN W SCHMIDLIN	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	JOHN J BRENNAN	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
EVP	STEVEN A. JOACHIM	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	CAMERON FUNKHOUSER	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
VICE PRESIDENT	ROBERT A. RENNER	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	SUSAN F. AXELROD	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	SUSAN WOLBURGH JENAH	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	ELISSE B WALTER	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROBERT W SCULLY	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	MARK W CRESAP	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	JOSEPH M MECANE	1735 K STREET, NW WASHINGTON , DC 20006 USA
DIRECTOR	JOSHUA S LEVINE	1735 K STREET, NW WASHINGTON , DC 20006 USA
EVP	RICHARD W BERRY	1735 K STREET, NW WASHINGTON , DC 20006 USA
PRESIDENT	RICHARD G KETCHUM	1735 K STREET, NW WASHINGTON , DC 20006 USA
SECRETARY	MARCIA E ASQUITH	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	GERALDINE M. WALSH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	JOEL SELIGMAN	1735 K STREET, NW WASHINGTON , DC 20006 USA
TREASURER	TODD T DIGANCI	1735 K STREET, NW WASHINGTON, DC 20006 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**

CORPORATION SERVICE COMPANY 222 JEFFERSON BOULEVARD, SUITE 200 WARWICK , RI  
02888

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

**Signed this 30 Day of June, 2015 at 3:26:00 PM 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  
Signature of Authorized Person

© 2007 - 2015 State of Rhode Island and Providence Plantations  
All Rights Reserved