



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

No Fee

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

Foreign Non-Profit  
Annual Report - Amended

(Section 7-1.2-1501(e) of the General Laws of Rhode Island, 1956, as amended)

**This form is only to be used to amend the current annual report on file with this office.**

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:

City or Town: State: Zip: Country:

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	1735 K STREET, NW

	FLORIO	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
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
CFO, EVP	TODD T DIGANCI	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
EVP	GREGORY AHERN	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF LEGAL OFFICER	ROBERT COLBY	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	GERALDINE M. WALSH	1735 K STREET, NW WASHINGTON, DC 20006 USA
TREASURER	TODD T DIGANCI	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	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
EVP	MICHAEL RUFINO	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	SUSAN WOLBURGH JENAH	192 CARMICHAEL AVENUE TORONTO, ON M5M 2X3 CA
DIRECTOR	WILLIAM H. HEYMAN	THE TRAVELERS COMPANIES, INC., 385 WASHINGTON STREET SAINT PAUL, MN 55102-1396 USA
DIRECTOR	JAMES D. WEDDLE	EDWARD JONES, 12555 MANCHESTER ROAD ST. LOUIS, MO 63131 USA
DIRECTOR	BRIGITTE C. MADRIAN	JFK SCHOOL OF GOVERNMENT, MAILBOX 114, 79 JFK STREET CAMBRIDGE, MA 02138 USA
DIRECTOR	MARK S. CASADY	75 STATE STREET, 24TH FL, LPL FINANCIAL BOSTON, MA 02109 USA
DIRECTOR	JOHN J. BRENNAN	THE VANGUARD GROUP, 400 DEVON PARK DRIVE WAYNE, PA 19087 USA
DIRECTOR	SETH H. WAUGH	60 WALL STREET, 46TH FL, DEUTSCHE BANK AMERICAS NEW YORK, NY 10005 USA
DIRECTOR	LUIS M. VICEIRA	HARVARD BUSINESS SCHOOL, BAKER LIBRARY 367

		BOSTON, MA 02163 USA
DIRECTOR	ROCHELLE (SHELLY) LAZARUS	OGILVY & MATHER, 636-11TH AVENUE NEW YORK, NY 10036 USA
DIRECTOR	GREGORY J. FLEMING	40TH FL., MORGAN STANLEY WEALTH MNGMNT, 1585 BROADWAY NEW YORK, NY 10036 USA
DIRECTOR	RICHARD S. PECHTER	1 MAGNOLIA PLACE SUMMIT, NJ 07901 USA
DIRECTOR	ELISSE B. WALTER	7529 ROYAL DOMINION DRIVE BETHESDA, MD 20817 USA
DIRECTOR	JOEL SELIGMAN	UNIVERSITY OF ROCHESTER, 40 WALLIS HALL ROCHESTER, NY 14627 USA
DIRECTOR	ROBERT W. SCULLY	9 E. 79TH STREET NEW YORK, NY 10075 USA
DIRECTOR	LESLIE F. SEIDMAN	FINANCIAL ACCOUNTING STANDARDS BOARD, 10 BEECHWOOD LANE WESTPORT, CT 06880 USA
DIRECTOR	JOSHUA S. LEVINE	5TH FL, KITA CAPITAL MNGMNT, 2095 BRODWAY NEW YORK, NY 10023 USA
DIRECTOR	KEVIN A. CARRENO	SUITE 1100, 300 S. ORANGE AVENUE ORLANDO, FL 32801 USA
DIRECTOR	MARK W. CRESAP	SUITE 230, CRESAP, INC., 259 RADNOR-CHESTER ROAD RADNOR, PA 19087 USA
DIRECTOR	JOSEPH M. MECANE	3RD FLOOR BARCLAYS, 745 SEVENTH AVENUE NEW YORK, NY 10019 USA
DIRECTOR	JOHN W. SCHMIDLIN	15 SPRINGCROFT ROAD FAR HILLS, NJ 07931 USA
DIRECTOR	W. DENNIS FERGUSON	CAPITAL INVESTMENT GROUP, 1040 SW 14 DRIVE BOCA RATON, FL 33486 USA
DIRECTOR	CAROL (JOHN) ANTHONY DAVIDSON	SUITE 1404, 4851 BONIAT BAY BOULEVARD BONITA SPRINGS, FL 34134 USA
DIRECTOR	ROBERT KEENAN JR.	ST. BERNARD FINANCIAL SERVICES, INC., 1609 WEST MAIN ST RUSSELLVILLE, AR 72801 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

**Signed this 10 Day of July, 2015 at 11:15:12 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 ROBERT A. RENNER  
Signature of Authorized Person





State of Rhode Island and Providence Plantations  
**Department of State | Office of the Secretary of State**  
**Nellie M. Gorbea**, *Secretary of State*

I, NELLIE M. GORBEA, Secretary of State of the State of Rhode Island  
and Providence Plantations, hereby certify that this document, duly executed in  
accordance with the provisions of Title 7 of the General Laws of Rhode Island, as  
amended, has been filed in this office on this day:

A handwritten signature in blue ink, appearing to read "Nellie M. Gorbea". The signature is fluid and cursive, written in a professional style.

Nellie M. Gorbea  
*Secretary of State*

