



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. 000092575

2. Name of Corporation FINRA Regulation, 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

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
PRESIDENT	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ELISSE B. WALTER	7529 ROYAL DOMINION DRIVE BETHESDA, MD 20817 USA
DIRECTOR	JOSEPH M MECANE	745 SEVENTH AVENUE, 3RD FL NEW YORK, NY 10019 USA
DIRECTOR	JOSHUA S. LEVINE	2095 BROADWAY, 5TH FL

		NEW YORK, NY 10023 USA
DIRECTOR	MARK W. CRESAP	259 RADNOR-CHESTER ROAD, SUITE 230 RADNOR, PA 19087 USA
EVP	RICHARD W. BERRY	1735 K STREET, NW WASHINGTON, DC 20006 USA
VICE PRESIDENT	ROBERT A. RENNER	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP & CIO	STEVEN J. RANDICH	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	MICHAEL RUFINO	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR/CEO/CHAIRMAN	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	STEVEN A. JOACHIM	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF RISK OFFICER	CARLO V. DI FLORIO	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
EVP	THOMAS M. SELMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	LUIS M. VICEIRA	BAKER LIBRARY 367 BOSTON, MA 02163 USA
SVP	TRACY JOHNSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROBERT W. SCULLY	9 E. 79TH STREET NEW YORK, NY 10075 USA
DIRECTOR	SUSAN WOLBURGH JENAH	192 CARMICHAEL AVENUE TORONTO, ON M5M 2X3 CA
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
EVP	THOMAS GIRA	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	BRIGITTE C. MADRIAN	79 JFK STREET CAMBRIDGE, MA 02138 USA
EVP	BILL WOLLMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	CAMERON FUNKHOUSER	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROBERT KEENAN, JR.	1609 WEST MAIN STREET RUSSELLVILLE, AR 72801 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	SETH H. WAUGH	60 WALL STREET NEW YORK, NY 10005 USA
DIRECTOR	KEVIN A. CARRENO	300 SOUTH ORANGE AVENUE ORLANDO, FL 32801 USA
DIRECTOR	JOHN J. BRENNAN	400 DEVON PARK DRIVE WAYNE, PA 19087 USA
DIRECTOR	W. DENNIS FERGUSON	1489 W PALMETTO PARK RD BOCA RATON, FL 33486 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
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	JAMES D. WEDDLE	12555 MANCHESTER ROAD ST. LOUIS, MO 63131 USA
DIRECTOR	WILLIAM H. HEYMAN	385 WASHINGTON STREET SAINT PAUL, MN 55102 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 12:08:13 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 ROBERT A. RENNER
Signature of Authorized Person

Form No. 631
Revised 09/07



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

