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: 2016

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:

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
PRES/CEO/CHAIRMAN/DIR	RICHARD G KETCHUM	1735 K STREET, NW WASHINGTON, DC 20006 USA
SECRETARY/SVP	MARCIA E ASQUITH	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF ECONOMIST/SVP	JONATHAN S SOKOBIN	1735 K STREET, NW WASHINGTON, DC 20006 USA

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
EVP	RICHARD W BERRY	1735 K STREET, NW WASHINGTON , DC 20006 USA
EVP & CIO	STEVEN J. RANDICH	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
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
EVP	MICHAEL RUFINO	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	CHARLES I PLOSSER	9 LAUREL OAK RD AMELIA ISLAND, FL 32034 USA
DIRECTOR	JOHN W THIEL	2 WORLD FINANCIAL CENTER, 42 NEW YORK, NY 10281 USA
DIRECTOR	JOSEPH R.V. ROMANO	1560 SHERMAN AVE STE 1300 EVANSTON, IL 60201 USA
DIRECTOR	KATHLEEN A MURPHY	200 SEAPORT BOULEVARD, V7A BOSTON, MA 02210 USA
DIRECTOR	RANDAL K QUARLES	79 SOUTH MAIN ST 3RD FL SALT LAKE CITY, UT 84111 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
TRES/CFO/EVP	TODD T DIGANCI	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	JOHN J BRENNAN	439 CHANDLEE DR BERWYN, PA 19312 USA
DIRECTOR	JOSHUA S LEVINE	315 W 36TH ST 10TH FL NEW YORK, NY 10018 USA
DIRECTOR	MARK W CRESAP	259 RADNOR-CHESTER RD STE 140 RADNOR, PA 19087 USA
DIRECTOR	BRIAN J KOVACK ESQ	6451 N FEDERAL HIGHWAY STE 1201 FORT LAUDERDALE, FL 33308 USA
DIRECTOR	BRIGITTE C. MADRIAN	JFK SCHOOL OF GOVERNMENT, MAILBOX 114, 79 JFK STREET CAMBRIDGE, MA 02138 USA

DIRECTOR	LESLIE F. SEIDMAN	FINANCIAL ACCOUNTING STANDARDS BOARD, 10 BEECHWOOD LANE WESTPORT, CT 06880 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	ELISSE B. WALTER	7529 ROYAL DOMINION DRIVE BETHESDA, MD 20817 USA
DIRECTOR	ROBERT W. SCULLY	9 E. 79TH STREET NEW YORK, NY 10075 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	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	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
DIRECTOR	JAMES D. WEDDLE	EDWARD JONES, 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

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 6 Day of June, 2016 at 4:49:57 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

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