



**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:** 2018

**1. Corporate ID No.** 000092575

**2. Name of Corporation** FINRA Regulation, Inc.

**3. State of Incorporation**

State: DE

**ARTICLE III**

Using the dropdown labeled NAICS Code below, select the classification title that describes the primary type of activity in which your entity engages. The box to the right of the dropdown will populate a NAICS Code based on the chosen selection. If the NAICS Code is known, enter it into the box on the right. For further assistance with selecting a classification [click here](#).

NAICS Code   
926150

**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**

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.**

| <b>Title</b>           | <b>Individual Name</b><br>First, Middle, Last, Suffix | <b>Address</b><br>Address, City or Town, State, Zip Code, Country |
|------------------------|-------------------------------------------------------|-------------------------------------------------------------------|
| DIRECTOR               | JOSHUA S. LEVINE                                      | 315 W. 36TH ST 10TH FL<br>NEW YORK, NY 10018 USA                  |
| EVP                    | BILL WOLLMAN                                          | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| DIRECTOR               | CHARLES I. PLOSSER                                    | 9 LAUREL OAK RD<br>AMELIA ISLAND, FL 32034 USA                    |
| DIRECTOR               | JOSEPH R.V. ROMANO                                    | 1560 SHERMAN AVE STE 1300<br>EVANSTON, IL 60201 USA               |
| DIRECTOR               | KATHLEEN A. MURPHY                                    | 200 SEAPORT BLVD, V7A<br>BOSTON, MA 02210 USA                     |
| EVP                    | MICHAEL RUFINO                                        | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| CHIEF LEGAL OFFICER    | ROBERT COLBY                                          | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| DIRECTOR               | ROCHELLE LAZARUS                                      | 636 11TH AVENUE<br>NEW YORK, NY 10036 USA                         |
| DIRECTOR               | EILEEN K MURRAY                                       | 355 RIVERSIDE AVE<br>WESTPORT, CT 06880 USA                       |
| CHIEF RISK OFFICER     | CARLO V DI FLORIO                                     | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| EVP/CIO                | STEVEN J. RANDICH                                     | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| DIRECTOR               | LESLIE F. SEIDMAN                                     | 10 BEECHWOOD LANE<br>WESTPORT, CT 06880 USA                       |
| DIRECTOR               | JOSEPH M. MECANE                                      | 350 PARK AVE, 10TH FL<br>NEW YORK, NY 10022 USA                   |
| DIRECTOR               | CAROL ANTHONY DAVIDSON                                | 4851 BONITA BAY BLVD STE 1404<br>BONITA SPRINGS, FL 34134 USA     |
| SVP                    | ALTON L. JONES JR.                                    | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| DIRECTOR               | ANDREW S. DUFF                                        | 800 NICOLLET MALL, SUITE 1000<br>MINNEAPOLIS, MN 55402 USA        |
| SVP                    | TRACY JOHNSON                                         | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| SECRETARY/EVP          | MARCIA E. ASQUITH                                     | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| SVP                    | JONATHAN S. SOKOBIN                                   | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| EVP                    | CAMERON FUNKHOUSER                                    | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| TREASURER, CFO & EVP   | TODD T. DIGANCI                                       | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| SVP                    | GERALDINE M. WALSH                                    | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| EVP                    | THOMAS M. SELMAN                                      | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| CEO/PRESIDENT/DIRECTOR | ROBERT W. COOK                                        | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                     |
| DIRECTOR               | SUSAN WOLBURGH JENAH                                  | 192 CARMICHAEL AVENUE<br>TORONTO, ON M5M 2X3 CA                   |
| DIRECTOR               | BRIGITTE C. MADRIAN                                   | 79 JFK ST MAILBOX 114                                             |

|                   |                      |                                                                    |
|-------------------|----------------------|--------------------------------------------------------------------|
|                   |                      | CAMBRIDGE, MA 02138 USA                                            |
| DIRECTOR          | BRIAN J. KOVACK ESQ. | 6451 N FEDERAL HIGHWAY STE 1201<br>FORT LAUDERDALE, FL 33308 USA   |
| EVP               | THOMAS GIRA          | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| EVP               | RICHARD W. BERRY     | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| SVP               | JOSH DROBNYK         | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| SVP               | GREGORY J. DEAN JR.  | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| DIRECTOR          | ELISSE B. WALTER     | 7529 ROYAL DOMINION DRIVE<br>BETHESDA, MD 20817 USA                |
| DIRECTOR          | LUIS M. VICEIRA      | BAKER LIBRARY 367<br>BOSTON, MA 02163 USA                          |
| DIRECTOR          | ROBERT A. MUH        | 220 MONTGOMERY STREET, SUITE 1700<br>SAN FRANCISCO, CA 94104 USA   |
| DIRECTOR          | HILLARY A. SALE      | ONE BROOKINGS DRIVE, ROOM 579, BOX 1120<br>ST. LOUIS, MO 63130 USA |
| DIRECTOR          | AMY L. WEBBER        | 1776 PLEASANT PLAIN RD<br>FAIRFIELD, IA 52556 USA                  |
| EVP               | BARI HAVLIK          | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| DIRECTOR          | STEPHEN A. KOHN      | 7114 W. JEFFERSON AVE, STE 305<br>LAKEWOOD, CO 80235 USA           |
| EVP               | SUSAN SCHROEDER      | 1735 K STREET, NW<br>WASHINGTON, DC 20006 USA                      |
| DIRECTOR          | TIMOTHY C. SCHEVE    | 1717 ARCH ST<br>PHILADELPHIA, PA 19103 USA                         |
| CHAIRMAN/DIRECTOR | WILLIAM H. HEYMAN    | 485 LEXINGTON AVE<br>NEW YORK, NY 10006 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 18 Day of June, 2018 at 2:01:11 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

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