



**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

6

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.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
DIRECTOR	JOSHUA S. LEVINE	315 W. 36TH ST 10TH FL NEW YORK, NY 10018 USA
EVP	BILL WOLLMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	CHARLES I. PLOSSER	9 LAUREL OAK RD AMELIA ISLAND, FL 32034 USA
DIRECTOR	JOSEPH R.V. ROMANO	1560 SHERMAN AVE STE 1300 EVANSTON, IL 60201 USA
DIRECTOR	KATHLEEN A. MURPHY	200 SEAPORT BLVD, V7A BOSTON, MA 02210 USA
EVP	MICHAEL RUFINO	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF LEGAL OFFICER	ROBERT COLBY	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ROCHELLE LAZARUS	636 11TH AVENUE NEW YORK, NY 10036 USA
DIRECTOR	EILEEN K MURRAY	355 RIVERSIDE AVE WESTPORT, CT 06880 USA
CHIEF RISK OFFICER	CARLO V DI FLORIO	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP/CIO	STEVEN J. RANDICH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	LESLIE F. SEIDMAN	10 BEECHWOOD LANE WESTPORT, CT 06880 USA
DIRECTOR	JOSEPH M. MECANE	350 PARK AVE, 10TH FL NEW YORK, NY 10022 USA
DIRECTOR	CAROL ANTHONY DAVIDSON	4851 BONITA BAY BLVD STE 1404 BONITA SPRINGS, FL 34134 USA
SVP	ALTON L. JONES JR.	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ANDREW S. DUFF	800 NICOLLET MALL, SUITE 1000 MINNEAPOLIS, MN 55402 USA
SVP	TRACY JOHNSON	1735 K STREET, NW WASHINGTON, DC 20006 USA
SECRETARY/EVP	MARCIA E. ASQUITH	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	JONATHAN S. SOKOBIN	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	CAMERON FUNKHOUSER	1735 K STREET, NW WASHINGTON, DC 20006 USA
TREASURER, CFO & EVP	TODD T. DIGANCI	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
CEO/PRESIDENT/DIRECTOR	ROBERT W. COOK	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	SUSAN WOLBURGH JENAH	192 CARMICHAEL AVENUE 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 FORT LAUDERDALE, FL 33308 USA
EVP	THOMAS GIRA	1735 K STREET, NW WASHINGTON, DC 20006 USA
EVP	RICHARD W. BERRY	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	JOSH DROBNYK	1735 K STREET, NW WASHINGTON, DC 20006 USA
SVP	GREGORY J. DEAN JR.	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	ELISSE B. WALTER	7529 ROYAL DOMINION DRIVE BETHESDA, MD 20817 USA
DIRECTOR	LUIS M. VICEIRA	BAKER LIBRARY 367 BOSTON, MA 02163 USA
DIRECTOR	ROBERT A. MUH	220 MONTGOMERY STREET, SUITE 1700 SAN FRANCISCO, CA 94104 USA
DIRECTOR	HILLARY A. SALE	ONE BROOKINGS DRIVE, ROOM 579, BOX 1120 ST. LOUIS, MO 63130 USA
DIRECTOR	AMY L. WEBBER	1776 PLEASANT PLAIN RD FAIRFIELD, IA 52556 USA
EVP	BARI HAVLIK	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	STEPHEN A. KOHN	7114 W. JEFFERSON AVE, STE 305 LAKEWOOD, CO 80235 USA
EVP	SUSAN SCHROEDER	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	TIMOTHY C. SCHEVE	1717 ARCH ST PHILADELPHIA, PA 19103 USA
CHAIRMAN/DIRECTOR	WILLIAM H. HEYMAN	485 LEXINGTON AVE 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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