



**State of Rhode Island
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: 2021

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. Principal Office Address

No. and Street: 1735 K STREET, NW

City or Town: WASHINGTON

State: DC

Zip: 20006

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

5. Brief Description of the Character of the Affairs Conducted in Rhode Island

AN INDEPENDENT SUBSIDIARY OF THE NATIONAL ASSOCIATION OF SECURITIES
DEALERS, INC.

6. 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
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
CEO/PRESIDENT/DIRECTOR	ROBERT W. COOK	1735 K STREET, NW WASHINGTON, DC 20006 USA
CHIEF LEGAL OFFICER	ROBERT COLBY	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	JOHN EHNES	100 WATERFRONT PL WEST SACRAMENTO, CA 95605 USA
DIRECTOR	JAMES D NAGENGAST	12325 PORT GRACE BLVD LA VISTA, NE 68128 USA
DIRECTOR	PETER R FISHER	TUCK SCHOOL OF BUSINESS DARTMOUTH COLLEGE HANOVER, NH 03755 USA
SVP	GREGORY J. DEAN JR.	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	LINDE MURPHY	950 EAST BASSE ROAD SECOND FLOOR SAN ANTONIO, TX 78209 USA
EVP	RICHARD W. BERRY	1735 K STREET, NW WASHINGTON, DC 20006 USA
SENIOR VICE PRESIDENT/CHO	MAUREEN DELANEY	1735 K STREET NW WASHINGTON, DC 20006 USA
DIRECTOR	AMY L. WEBBER	1776 PLEASANT PLAIN RD FAIRFIELD, IA 52556 USA
DIRECTOR	PAIGE W PIERCE	8955 S TAFT HILL DR. STE 100 SANDY, UT 84093 USA
DIRECTOR	BRIAN J. KOVACK ESQ.	6451 N FEDERAL HIGHWAY STE 1201 FORT LAUDERDALE, FL 33308 USA
EVP/CIO	STEVEN J. RANDICH	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	EILEEN K MURRAY	400 NYALA FARMS RD WESTPORT, CT 06880 USA
DIRECTOR	HILLARY A SALE	600 NEW JERSEY AVE, NW WASHINGTON, DC 20001 USA
DIRECTOR	LANCE F DRUMMOND	14263 NOLEN LANE CHARLOTTE, NC 28277 USA
EVP	BARI HAVLIK	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	CHRISTOPHER W. FLINT	3120 139TH AVENUE SE SUITE 300 BELLEVUE , WA 98005 USA
DIRECTOR	MAUREEN JENSEN	117 CAMERON STREET THORNBURY, ON N0H 2P0 CAN
DIRECTOR	KATHRYN RUEMLER	200 WEST STREET NEW YORK , NY 10282 USA
EXECUTIVE VICE PRESIDENT	JESSICA HOPPER	1735 K STREET NW WASHINGTON , DC 20006 USA
EXECUTIVE VICE PRESIDENT	STEPHANIE DUMONT	1735 K STREET NW WASHINGTON , DC 20006 USA
DIRECTOR	WENDY LANTON	35 PINELAWN ROAD SUITE 101E MELVILLE, NY 11747 USA
DIRECTOR	ERIC NOLL	401 E. CITY AVENUE #815 BALA CYNWYD, PA 19004 USA

EXECUTIVE VICE PRESIDENT	RAINA L WASHINGTON	1735 K STREET NW WASHINGTON, DC 20006 USA
VICE PRESIDENT	ROBERT A. RENNER	1735 K STREET NW WASHINGTON, DC 20006 USA
DIRECTOR	TIMOTHY C SCHEVE	1717 ARCH STREET FL 22 PHILADELPHIA, PA 19103 USA
DIRECTOR	TIMOTHY C SCHEVE	1717 ARCH ST FL 22 PHILADELPHIA, PA 19103 USA
CHAIRMAN/DIRECTOR	WILLIAM H HEYMAN	485 LEXINGTON AVE NEW YORK, NY 10017 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	BILL WOLLMAN	1735 K STREET, NW WASHINGTON, DC 20006 USA
DIRECTOR	CHARLES I. PLOSSER	9 LAUREL OAK RD AMELIA ISLAND, FL 32034 USA
DIRECTOR	KATHLEEN A. MURPHY	200 SEAPORT BLVD, V7A BOSTON, MA 02210 USA
DIRECTOR	ETHIOPIA TAFARA	2121 PENNSYLVANIA AVENUE NW WASHINGTON, DC 20433 USA
DIRECTOR	CAMILLE M. BUSETTE	1775 MASSACHUSETTS AVE NW WASHINGTON, DC 20036 USA

7. 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

8. This report must be signed by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, duly Authorized Representative, Receiver, or Trustee.

Signed this 23 Day of June, 2021 at 9:29:28 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 MARCIA E. ASQUITH
Signature of Authorized Person

Form No. 631
Revised 09/07