

Commonwealth of Kentucky  
Trey Grayson, Secretary of State

0442924  
Trey Grayson  
Secretary of State  
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Trey Grayson  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

Annual Report  
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ARP

**Company:** FINRA REGULATION, INC.  
**Company ID:** 0442924  
**State of origin:** Delaware  
**Formation date:** 12/16/1997 12:00:00 AM  
**Date filed:** 4/8/2010 12:35:18 PM  
**Fee:** \$8.00

**Principal Office**

1735 K. STREET  
NW WASHINGTON, DC 20006

**Registered Agent Name/Address**

CORPORATE CREATIONS NETWORK INC.  
101 NORTH SEVENTH STREET  
LOUISVILLE, KY 40202

**Current Officers**

CEO	Richard G. Ketchum, CHR & CEO	1735 K Street, NW Washington DC 20006
CFO	Todd T. Diganci, EVP & CFO	1735 K Street, NW Washington DC 20006
Secretary	Marcia E. Asquith, SVP & SECR	1735 K Street, NW Washington DC 20006
Vice President	Susan F. Axelrod, SVP	1735 K Street, NW Washington DC 20006
Executive	Stephen Luparello, VICE CHR	1735 K Street, NW Washington DC 20006
Executive	Linda D. Fienberg, EVP	1735 K Street, NW Washington DC 20006
Executive	Daniel M. Sibears, EVP	1735 K Street, NW Washington DC 20006

**Directors**

Director	Charles A Bowsher	4503 Boxwood Road, Bethesda MD 20816
Director	John J Brennan	100 Vanguard Blvd, Malvern PA 19355
Director	Ellyn L Brown	11055 Greenspring Avenue, Lutherville MD 21093
Director	Richard F Brueckner	95 Christopher Columbus Drive, Jersey City NJ 07399
Director	Mari Buechner	704 River Place, Madison WI 53716
Director	Richard G. Ketchum	1735 K Street, NW Washington DC 20006

**Signatures**

**Signature** MARCIA E. ASQUITH  
**Title** SENIOR VICE PRESIDENT & CORPORATE SECRETARY