

0442924

Elaine N. Walker

Secretary of State

Received and Filed

5/27/2011 10:59:21 AM

Fee receipt: \$15.00

Commonwealth of Kentucky

Elaine N. Walker, Secretary of State

Elaine N. Walker
Secretary of State
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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: 5/27/2011 10:59:21 AM
Fee: \$15.00

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

Vice Chairman	Stephen Luparello, VICE CHR	1735 K Street, NW Washington DC 20006
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
CIO	Samuel H. Gaer, EVP	1735 K Street, NW Washington DC 20006
Secretary	Marcia E. Asquith, SVP/SECR	1735 K Street, NW Washington DC 20006
Vice President	John M. Gannon, SVP	1735 K Street, NW Washington DC 20006
Vice President	Tracy Johnson, SVP	1735 K Street, NW Washington DC 20006
Executive	Linda D. Fienberg, EVP/CHO	1735 K Street, NW Washington DC 20006
Executive	Susan F. Axelrod, EVP	1735 K Street, NW Washington DC 20006
Executive	J. Bradley Bennett, EVP	1735 K Street, NW Washington DC 20006
Executive	T. Grant Callery, EVP	1735 K Street, NW Washington DC 20006
Executive	Martin P. Colburn, EVP/CTO	1735 K Street, NW Washington DC 20006
Executive	Marc Menchel, EVP	1735 K Street, NW Washington DC 20006
Executive	Howard M. Schloss, EVP	1735 K Street, NW Washington DC 20006
Executive	Thomas M. Selman, EVP	1735 K Street, NW Washington DC 20006
Executive	Grace B. Vogel, EVP	1735 K Street, NW Washington DC 20006

Directors

Director	Charles A Bowsher	4503 Boxwood Road, Bethesda MD 20816
Director	John J Brennan	400 Devon Park Drive, Wayne PA 19087
Director	Ellyn L Brown	11055 Greenspring Avenue, Lutherville MD 21093
Director	Richard F Brueckner	95 Christopher Columbus Drive, Jersey City NJ 07399
Director	Richard G. Ketchum	1735 K Street, NW Washington DC 20006

Signatures

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