

0442924

Alison Lundergan Grimes

KY Secretary of State

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Commonwealth of Kentucky

Alison Lundergan Grimes, Secretary of State

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

Amendment Annual Report Online Filing

ARA

Company: FINRA REGULATION, INC.
Company ID: 0442924
State of origin: Delaware
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Principal Office

1735 K. STREET NW
WASHINGTON, DC 20006

Registered Agent Name/Address

CSC-LAWYERS INCORPORATING SERVICE COMPANY
421 WEST MAIN STREET
FRANKFORT, KY 40601

Current Officers

President	Richard G Ketchum	1735 K Street, NW Washington DC 20006
Secretary	Marcia E Asquith	1735 K Street, NW Washington DC 20006
Treasurer	Todd T Diganci	1735 K Street, NW Washington DC 20006

Directors

Director	John J Brennan	400 Devon Park Drive, Wayne PA 19087
Director	Richard G Ketchum	1735 K Street, NW Washington DC 20006
Director	Mark S Casady	75 State Street, Boston MA 02109
Director	W. Dennis Ferguson	1489 W. Palmetto Park Road, Boca Raton FL 33486
Director	Gregory J Fleming	1585 Broadway, New York NY 10036
Director	William H Heyman	385 Washington Street, Saint Paul MN 55102
Director	Richard S Pechter	500 Park Avenue, New York NY 10022
Director	John W Schmidlin	15 Springcroft Road, Far Hills NJ 07931
Director	Joel Seligman	240 Wallis Hall, Rochester NY 14627
Director	Seth H Waugh	60 Wall Street, New York NY 10005
Director	James D Weddle	12555 Manchester Road, St. Louis MO 63131
Director	Kevin A Carreno	300 South Orange Avenue, Orlando FL 32801
Director	Carol (John) Anthony Davidson	4851 Bonita Bay Blvd., Bonita Springs FL 34134
Director	Rochelle (Shelly) Lazarus	636 11th Avenue, New York NY 10036
Director	Brigitte C Madrian	79 JFK Street, Cambridge MA 02138
Director	Leslie F Seidman	10 Beechwood Lane, Westport CT 06880
Director	Luis M Viceira	Baker Library 367, Boston MA 02163
Director	Robert Keenan, Jr.	1609 West Main Street, Russellville AR 72801
Director	Joshua S Levine	2095 Broadway, 5th Floor, New York, NY 10023
Director	Robert W Scully	9 E 79th Street, New York, NY 10075
Director	Mark W Cresap	259 Radnor-Chester Road, Suite 230, Radnor, PA 19087
Director	Elisse B Walter	7529 Royal Dominion Drive, Bethesda, MD 20817
Director	Joseph M Mecane	375 Park Avenue, New York, NY 10152

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ARA

Director Susan Wolburgh Jenah 192 Carmichael, Toronto, ON M5M 2X3, CA

Signatures

**Signature
Title**

MARCIA E. ASQUITH
SECRETARY

