

Commonwealth of Kentucky
Michael G. Adams, Secretary of State

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Michael G. Adams
KY Secretary of State
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 Secretary of State
 P. O. Box 1150
 Frankfort, KY 40602-1150
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Annual Report
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ARP

Company: FINRA REGULATION, INC.
Company ID: 0442924
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Principal Office

1735 K. STREET NW
 WASHINGTON, DC 20006

Registered Agent Name/Address

Corporation Service Company
 421 WEST MAIN STREET
 FRANKFORT, KY 40601

Current Officers

CEO	ROBERT W. COOK	1735 K STREET, NW WASHINGTON, DC 20006
CFO	TODD T. DIGANCI	1735 K STREET, NW WASHINGTON, DC 20006
President	ROBERT W. COOK	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
Vice President	STEVEN J. RANDICH, EVP/CIO	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	GREGORY J. DEAN, JR., SVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	MARCIA E. ASQUITH, EVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	ROBERT COLBY, CLO	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	BILL WOLLMAN, EVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	TODD T. DIGANCI, EVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	GERALDINE M. WALSH, SVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	JONATHAN S. SOKOBIN, SVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	BARI HAVLIK, EVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	JESSICA HOPPER, SVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	MAUREEN DELANEY, SVP/CHO	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	RAINIA L. WASHINGTON, EVP	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	ROBERT A. RENNER	1735 K STREET, NW WASHINGTON, DC 20006
Vice President	STEPHANIE DUMONT EVP	1735 K STREET NW WASHINGTON DC 20006
Vice President	DENISE DOBAY SVP/CAE	1735 K STREET NW WASHINGTON DC 20006

Directors

Director	BRIAN J. KOVACK, ESQ	6451 N FEDERAL HIGHWAY STE 1201, FORT LAUDERDALE, FL 33308
Director	PAIGE W PIERCE	8955 S TAFT HILL DR STE 100, SANDY, UT 84093
Director	CHARLES I. PLOSSER	9 LAUREL OAK RD, AMELIA ISLAND, FL 32034

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Director	AMY L. WEBBER	1776 PLEASANT PLAIN RD. FAIRFIELD, IA 52556
Director	KATHLEEN A. MURPHY	200 SEAPORT BLVD, V7A, BOSTON, MA 02210
Director	ROBERT W. COOK	1735 K STREET, NW WASHINGTON, DC 20006
Director	EILEEN K. MURRAY	400 NYALA FARMS RD, WESTPORT, CT 06880
Director	HILLARY A. SALE	600 NEW JERSEY AVE, NW, WASHINGTON DC 20001
Director	WENDY LANTON	35 PINELAWN ROAD SUITE 101E MELVILLE NY 11747
Director	TIMOTHY C. SCHEVE	1717 ARCH ST. FL 22 PHILADELPHIA, PA 19103
Director	LANCE F DRUMMOND	14263 NOLEN LN CHARLOTTE NC 28277
Director	JOHN EHNES	100 WATERFRONT PLACE, WEST SACRAMENTO CA 95605
Director	JAMES D NAGENGAST	12325 PORT GRACE BLVD, LA VISTA, NE 68128
Director	CAMILLE M BUSSETTE	1775 MASSACHUSETTS AVENUE NW WASHINGTON DC 20036
Director	CHRISTOPHER W FLINT	3120 139TH AVENUE SE SUITE 300 BELLEVUE WA 98005
Director	ETHIOPIS TAFARA	2121 PENNSYLVANIA AVENUE NW WASHINGTON DC 20433
Director	LINDE MURPHY	950 EAST BASSE ROAD SECOND FLOOR SAN ANTONIO TX 78209
Director	PETER R FISHER	TUCK SCHOOL OF BUSINESS DARTMOUTH COLLEGE HANOVER NH 03755
Director	ERIC NOLL	401 E. CITY AVENUE#815 BALA CYNWYD PA 19004
Director	KATHRYN RUEMMLER	200 WEST STREET NEW YORK NY 10282
Director	MAUREEN JENSEN	ONTARIO SECURITIES COMMISSION, 117 CAMERON STREET THORNBURY ON N0H 2P0
Director	DEBORAH BAILEY	1200 CALIFORNIA STREET APT 19C SAN FRANCISCO CA 94109

Signatures

**Signature
Title**

Marcia E. Asquith
Annual Report Signer