

Commonwealth of Kentucky
Elaine N. Walker, Secretary of State

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Elaine N. Walker
Secretary of State
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Secretary of State
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**Annual Report
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ARP

Company: FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.
Company ID: 0276132
State of origin: Delaware
Formation date: 8/13/1990 12:00:00 AM
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Principal Office

1735 K ST., N.W.
WASHINGTON, DC 20006

Registered Agent Name/Address

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

Current Officers

Vice Chairman	Stephen Luparello	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 & CIO	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	T. Grant Callery, EVP	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	Martin P. Colburn, EVP	1735 K Street, NW Washington DC 20006
Executive	Linda D. Fienberg, EVP & CHO	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