

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

0276132
Alison Lundergan Grimes
KY Secretary of State
Received and Filed
6/7/2013 2:48:20 PM
Fee receipt: \$15.00

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

**Annual Report
Online Filing**

ARP

Company: FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.
Company ID: 0276132
State of origin: Delaware
Formation date: 8/13/1990 12:00:00 AM
Date filed: 6/7/2013 2:48:20 PM
Fee: \$15.00

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

Chairman	RICHARD G. KETHCUM	1735 K STREET, NW WASHINGTON DC 20006
CEO	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON DC 20006
CFO	TODD T. DIGANCI, EVP & CFO	1735 K STREET, NW WASHINGTON DC 20006
CIO	STEVEN J. RANDICH, EVP & CIO	1735 K STREET, NW WASHINGTON DC 20006
Secretary	MARCIA E ASQUITH, SVP & SECR	1735 K STREET, NW WASHINGTON DC 20006
Vice President	TRACY JOHNSON, SVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	SUSAN F. AXELROD, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	GERALDINE M. WALSH, SVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	J. BRADLEY BENNETT, EVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	LINDA D. FIENBERG, CHO	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
Executive	GREGORY AHERN, EVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	CAMERON FUNKHOUSER, EVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	THOMAS GIRA, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	JONATHAN S. SOKOBIN, SVP	1735 K STREET, NW WASHINGTON DC 20006
Executive	ROBERT COLBY, CHIEF LEGAL OFFICER	1735 K STREET, NW WASHINGTON DC 20006
Vice President	ROBERT A. RENNER	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	JED E. BANDES	2963 GULF OF BAY BLVD, CLEARWATER FL 33759
Director	JAMES E. BURTON	1655 13TH AVENUE, SACRAMENTO CA 95818
Director	RICHARD G. KETCHUM	1735 K STREET, NW WASHINGTON DC 20006
Director	MARK S. CASADY	75 STATE STREET, BOSTON MA 02109
Director	JOHN F.X. DOLAN	834 UPPER HOLLOW ROAD, STOWE VT 05672
Director	W. DENNIS FERGUSON	1489 W. PALMETTO PARK RD, BOCA RATON FL 33486

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Director	GREGORY J. FLEMING	1585 BROADWAY, NEW YORK NY 10019
Director	HARVEY J. GOLDSCHMID	435 WEST 116TH STREET, NEW YORK, NY 10027
Director	WILLIAM H. HEYMAN	385 WASHINGTON STREET, SAINT PAUL MN 55102
Director	DR. SHIRLEY ANN JACKSON	110 EIGHTH STREET, TROY NY 12180
Director	KEN NORENSBERG	29 FROST LANE, LAWRENCE NY 11559
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	GARY H. STERN	1727 HUMBOLDT AVENUE, MINNEAPOLIS MN 55403
Director	KURT P. STOCKER	630 ZUNI COURT, TAOS, NM 87571
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 A. DAVIDSON	4851 BONITA BAY BLVD., BONITA SPRINGS FL 34134

Signatures

**Signature
Title**

ROBERT A. RENNER
VICE PRESIDENT