

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

0276132  
Alison Lundergan Grimes  
KY Secretary of State  
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FNAP

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:** 5/8/2014 1:17:59 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**

|                |  |                                       |
|----------------|--|---------------------------------------|
| President      | RICHARD G. KETHCUM, CHAIRMAN & CEO           | 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 & CORP. SECRETARY     | 1735 K STREET, NW WASHINGTON DC 20006 |
| Treasurer      | TODD T. DIGANCI, EVP & CFO                   | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | GREGORY AHERN, EXECUTIVE VICE PRESIDENT      | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | SUSAN F. AXELROD, EXECUTIVE VICE PRESIDENT   | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | J. BRADLEY BENNETT, EXECUTIVE VICE PRESIDENT | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | ROBERT COLBY, CHIEF LEGAL OFFICER            | 1735 K STREET, NW WASHINGTON DC 20006 |
| Vice President | TRACY JOHNSON, SENIOR VICE PRESIDENT         | 1735 K STREET, NW WASHINGTON DC 20006 |
| Vice President | JONATHAN S. SOKOBIN, SENIOR VICE PRESIDENT   | 1735 K STREET, NW WASHINGTON DC 20006 |
| Vice President | GERALDINE M. WALSH, SENIOR VICE PRESIDENT    | 1735 K STREET, NW WASHINGTON DC 20006 |
| Vice President | ROBERT A. RENNER                             | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | LINDA D. FIENBERG, CHIEF HEARING OFFICER     | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | THOMAS M. SELMAN, EXECUTIVE VICE PRESIDENT   | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | CARLO V. DI FLORIO, CHIEF RISK OFFICER       | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | CAMERON FUNKHOUSER, EXECUTIVE VICE PRESIDENT | 1735 K STREET, NW WASHINGTON DC 20006 |
| Executive      | THOMAS GIRA, EXECUTIVE VICE PRESIDENT        | 1735 K STREET, NW WASHINGTON DC       |

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|           |   |  |
|-----------|---|--|
| Executive | STEVEN A. JOACHIM, EXECUTIVE VICE PRESIDENT | 20006 1735 K STREET, NW<br>WASHINGTON DC 20006 |
| Executive | MICHAEL RUFINO, EXECUTIVE VICE PRESIDENT    | 1735 K STREET, NW WASHINGTON<br>DC 20006       |
| Executive | BILL WOLLMAN, EXECUTIVE VICE PRESIDENT      | 1735 K STREET, NW WASHINGTON DC<br>20006       |

**Directors**

|          |                      |   |
|----------|----------------------|---|
| Director | CHARLES A. BOWSHER   | 4503 BOXWOOD ROAD, BETHESDA MD 20816            |
| Director | JOHN J. BRENNAN      | 400 DEVON PARK DRIVE, WAYNE PA 19087            |
| 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 ROAD, BOCA RATON FL 33486 |
| Director | GREGORY J. FLEMING   | 1585 BROADWAY, 40TH FLOOR, NEW YORK NY 10036    |
| Director | HARVEY J. GOLDSCHMID | 435 WEST 116TH STREET, NEW YORK NY 10027        |
| Director | WILLIAM H. HEYMAN    | 385 WASHINGTON STREET, SAINT PAUL MN 55102      |
| 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 | LESLIE SEIDMAN       | 10 BEECHWOOD LANE, WESTPORT CT 06880            |
| Director | KURT P. STOCKER      | 8115 MAIN STREET, BOKEELIA FL 33922             |
| 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  |
| Director | ROBERT KEENAN, JR.   | 1609 WEST MAIN STREET, RUSSELLVILLE AR 72801    |
| Director | ROCHELLE LAZARUS     | 636 11TH AVENUE, NEW YORK NY 10036              |
| Director | BRIGITTE C. MADRIAN  | 79 JFK STREET, CAMBRIDGE MA 02138               |
| Director | LUIS M. VICEIRA      | BAKER LIBRARY 367, BOSTON MA 02163              |

**Signatures**

|                  |                  |
|------------------|------------------|
| <b>Signature</b> | ROBERT A. RENNER |
| <b>Title</b>     | VICE PRESIDENT   |