

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

FNAP
0276132
Alison Lundergan Grimes
KY Secretary of State
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Alison Lundergan Grimes
Secretary of State
P. O. Box 1150
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<http://www.sos.ky.gov>

**Annual Report
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ARP

Company:	FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.
Company ID:	0276132
State of origin:	Delaware
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Principal Office

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

Registered Agent Name/Address

Corporation Service Company
421 WEST MAIN STREET
FRANKFORT, KY 40601

Current Officers

Chairman	JOHN J. BRENNAN	439 CHANDLEE DRIVE BERWYN, PA 19312
CEO	ROBERT W. COOK	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
CFO	TODD T. DIGANCI	1735 K STREET, NW WASHINGTON DC 20006
Vice President	STEVEN J. RANDICH, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	ROBERT A. RENNER	1735 K STREET, NW WASHINGTON DC 20006
Vice President	THOMAS GIRA, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	JAMES BRADLEY BENNETT, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	TODD T. DIGANCI, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	MARCIA E. ASQUITH, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	BILL WOLLMAN, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	MICHAEL RUFINO, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	RICHARD W. BERRY, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	SUSAN F. AXELROD, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	CAMERON FUNKHOUSER, EVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	THOMAS M. SELMAN	1735 K STREET, NW WASHINGTON DC 20006
Vice President	CARLO V. DI FLORIO, EVP/ CRO	1735 K STREET, NW WASHINGTON DC 20006
Vice President	ROBERT COLBY, EVP/ CLO	1735 K STREET, NW WASHINGTON DC 20006
Vice President	JONATHAN S. SOKOBIN, SVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	TRACY JOHNSON, SVP	1735 K STREET, NW WASHINGTON DC 20006
Vice President	GERALDINE M. WALSH, SVP	1735 K STREET, NW WASHINGTON DC 20006

Directors

Director	JOHN J. BRENNAN	439 CHANDLEE DR, BERWYN PA 19312
Director	LESLIE F. SEIDMAN	10 BEECHWOOD LANE, WESTPORT CT 06880
Director	CAROL (JOHN) ANTHONY DAVIDSON	4851 BONITA BAY BLVD STE 1404., BONITA SPRINGS FL 34134

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Director	ROCHELLE (SHELLY) LAZARUS	636 11TH AVENUE, NEW YORK NY 10036
Director	BRIGITTE C. MADRIAN	79 JFK STREET MAILBOX 114, CAMBRIDGE MA 02138
Director	LUIS M. VICEIRA	BAKER LIBRARY 367, BOSTON MA 02163
Director	SUSAN WOLBURGH JENAH	192 CARMICHAEL AVE, TORONTO, ON M5M 2X3, CA
Director	ELISSE B. WALTER	7529 ROYAL DOMINION DRIVE, BETHESDA, MD 20817
Director	JOSHUA S. LEVINE	315 W 36TH ST 10TH FL, NEW YORK, NY 10018
Director	MARK W. CRESAP	259 RADNOR-CHESTER ROAD, SUITE 140, RADNOR, PA 19087
Director	JOSEPH M. MECANE	745 SEVENTH AVE 3RD FL, NEW YORK, NY 10019
Director	JOHN W. THIEL	2 WORLD FINANCIAL CENTER, 42, NEW YORK, NY 10281
Director	JOSEPH R.V. ROMANO	1560 SHERMAN AVE STE 1300, EVANSTON, IL 60201
Director	KATHLEEN A. MURPHY	200 SEAPORT BLVD, V7A, BOSTON, MA 02210
Director	RANDAL K. QUARLES	79 SOUTH MAIN ST 3RD FL, SALT LAKE CITY, UT 84111
Director	BRIAN J. KOVACK ESQ	6451 N FEDERAL HIGHWAY STE 1201, FORT LAUDERDAL, FL 33308
Director	CHARLES I. PLOSSER	9 LAUREL OAK RD, AMELIA ISLAND, FL 32034
Director	HILLARY A. SALE	ONE BROOKINGS DRIVE, ROOM 579, BOX 1120, ANHEUSER-BUSCH HALL, ST. LOUIS, MO 63130
Director	ROBERT W. COOK	1735 K STREET, NW WASHINGTON DC 20006
Director	ROBERT A. MUH	220 MONTGOMERY STREET, SUITE 1700 SAN FRANCISCO, CA 94104
Director	STEPHEN M. CUTLER	270 PARK AVENUE NEW YORK, NY 10017
Director	EILEEN K. MURRAY	ONE GLENDINNING PLACE WESTPORT, CT 06880

Signatures

**Signature
Title**

ROBERT A. RENNER
VICE PRESIDENT