

# Commonwealth of Kentucky

## Michael G. Adams, Secretary of State

0276132  
Michael G. Adams  
KY Secretary of State  
Received and Filed  
5/20/2024 12:05:26 PM  
Fee receipt: \$15.00

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

### Annual Report Online Filing For the Year 2024

**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:** 5/20/2024 12:05:14 PM  
**Fee:** \$15.00  
**Principal Office**

1700 K ST., N.W.  
WASHINGTON, DC 20006

#### Registered Agent Name/Address

Corporation Service Company  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

#### Current Officers

|           |                   |                                       |
|-----------|-------------------|---------------------------------------|
| President | ROBERT W. COOK    | 1700 K STREET, NW WASHINGTON DC 20006 |
| Secretary | MARCIA E. ASQUITH | 1700 K STREET, NW WASHINGTON DC 20006 |
| Treasurer | TODD T. DIGANCI   | 1700 K STREET, NW WASHINGTON DC 20006 |

#### Directors

|          |                     |                                                                             |
|----------|---------------------|-----------------------------------------------------------------------------|
| Director | TIMOTHY C. SCHEVE   | 1717 ARCH ST, FL 22 PHILADELPHIA, PA 19103                                  |
| Director | LANCE F DRUMMOND    | 14263 NOLEN LANE, CHARLOTTE NC 28277                                        |
| Director | ROBERT W. COOK      | 1700 K STREET, NW WASHINGTON DC 20006                                       |
| Director | JOHN (JACK) EHNE    | 5112 RUNWAY DR., FAIR OAKS, CA 95628                                        |
| Director | JAMES D NAGENGAST   | 12325 PORT GRACE BLVD, LA VISTA NE 68128                                    |
| Director | CAMILLE M BUSETTE   | 1775 MASSACHUSETTS AVENUE NW WASHINGTON DC 20036                            |
| Director | ETHIOPIA TAFARA     | 1818 H Street , NW, Washington, DC 20436                                    |
| Director | LINDE MURPHY        | 950 EAST BASSE ROAD SECOND FLOOR SAN ANTONIO TX 78209                       |
| Director | DEBORAH BAILEY      | 1200 CALIFORNIA STREET APT 19C SAN FRANCISCO CA 94109                       |
| Director | ERIC NOLL           | 401 E. CITY E CITY AVENUE #815 BALA CYNWYD PA 19004                         |
| Director | MAUREEN JENSEN      | 117 CAMERON STREET THORNBURY ONTARIO N0H 2P0                                |
| Director | WENDY LANTON        | 35 PINELAWN ROAD SUITE 101E MELVILLE NY 11747                               |
| Director | PAIGE W. PIERCE     | 4900 Gage Avenue, Apt 435, Bley Investment Group Inc., Fort Worth, TX 76109 |
| Director | Fabiola Arredondo   | 115 Mason St., Greenwich, CT 06830                                          |
| Director | James T. Crowley    | One Pershing Plaza, Jersey City, NJ 07399                                   |
| Director | Maira Kilcoyne      | 83 Ryerson Road, Warwick, NY 10990                                          |
| Director | Mortimer J. Buckley | 100 Vanguard Blvd, Malvern, PA 19355                                        |
| Director | Peggy Ho            | 9 Donizetti Street, Wellesley, MA 02482                                     |
| Director | Penny Pennington    | 12555 Manchester Rd, St Louis, MO 63131                                     |
| Director | Samir Deshpande     | 500 W Main Street, Louisville, KY 40202                                     |

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**Annual Report  
Online Filing  
For the Year 2024**

**ARP**

|          |                 |                                                                                        |
|----------|-----------------|----------------------------------------------------------------------------------------|
| Director | Lisa Fairfax    | University of Pennsylvania, 3501 Sanson Street, Philadelphia, PA 19104                 |
| Director | Gus Sauter      | 1700 K Street NW Washington, DC 20006                                                  |
| Director | Derrick A Roman | 1700 K Street NW Washington, DC 20006                                                  |
| Director | Scott Curtis    | Raymond James Financial Services, Inc., 880 Carillon Parkway, St. Petersburg, FL 33716 |

|                |                          |
|----------------|--------------------------|
| County:        | Franklin                 |
| Business size: | Small                    |
| Business type: | Membership Organizations |

**Signatures**

|                  |                  |
|------------------|------------------|
| <b>Signature</b> | Robert A. Renner |
| <b>Title</b>     | Vice President   |