

0491687
 Alison Lundergan Grimes
 KY Secretary of State
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Commonwealth of Kentucky
 Alison Lundergan Grimes, Secretary of State

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: FINRA DISPUTE RESOLUTION, INC.
Company ID: 0491687
State of origin: Delaware
Formation date: 3/24/2000 12:00:00 AM
Date filed: 6/5/2012 2:04:17 PM
Fee: \$15.00

Principal Office

1735 K. STREET NW
 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 |
| Chairman | Richard G. Ketchum | 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 |
| Executive | Linda D. Fienberg, EVP | 1735 K Street, NW Washington DC 20006 |
| Secretary | Marcia E. Asquith, SVP/SEC | 1735 K Street, NW Washington DC 20006 |
| Executive | 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 | 1735 K Street, NW Washington DC 20006 |
| Executive | J. Bradley Bennett, EVP | 1735 K Street, NW Washington DC 20006 |
| Executive | T. Grant Callery, EVP | 1735 K Street, NW Washington DC 20006 |
| Executive | Martin P. Colburn, 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 | Richard G. Ketchum | 1735 K Street, NW Washington DC 20006 |
| Director | Jed Bandes | 2963 Gulf to Bay Blvd, Clearwater FL 33759 |
| Director | James E. Burton | 1655 13th Avenue, Sacramento CA 95818 |
| Director | Mark S. Casady | One Beacon Street, Boston MA 02108 |
| 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, 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 |

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| | | |
|----------|--------------------|--|
| 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 |

Signatures

**Signature
Title**

MARCIA E. ASQUITH
SENIOR VICE PRESIDENT & CORPORATE SECRETARY

