

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

FNAP

0491687
Alison Lundergan Grimes
KY Secretary of State
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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: FINRA DISPUTE RESOLUTION, INC.
Company ID: 0491687
State of origin: Delaware
Formation date: 3/24/2000 12:00:00 AM
Date filed: 5/8/2014 3:34:07 PM
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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

Chairman	Richard G. Ketchum	1735 K Street, NW Washington DC 20006
CEO	Richard G. Ketchum	1735 K Street, NW Washington DC 20006
President	Linda D. Fienberg	1735 K Street, NW Washington DC 20006
CIO	Steven J. Randich, EVP & CIO	1735 K Street, NW Washington DC 20006
Treasurer	Todd T. Diganci, EVP & CFO	1735 K Street, NW Washington DC 20006
Secretary	Marcia E. Asquith, SVP & Corporate Secretary	1735 K Street, NW Washington DC 20006
Vice President	Tracy Johnson, Senior Vice President	1735 K Street, NW Washington DC 20006
Executive	Susan F. Axelrod, Executive Vice President	1735 K Street, NW Washington DC 20006
Vice President	Geraldine M. Walsh, Senior Vice President	1735 K Street, NW Washington DC 20006
Executive	J. Bradley Bennett, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Thomas M. Selman, Executive Vice President	1735 K Street, NW Washington DC 20006
Vice President	Jonathan S. Sokobin, Senior 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	Gregory Ahern, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Robert Colby, Chief Legal Officer	1735 K Street, NW Washington DC 20006
Executive	Cameron Funkouser, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Thomas Gira, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Steven A. Joachim, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Michael Rufino, Executive Vice President	1735 K Street, NW Washington DC 20006
Executive	Bill Wollman, Executive Vice President	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	James E. Burton	1655 13th Avenue, Sacramento CA 95818
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

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Director	Gregory J. Fleming	1585 Broadway, 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	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	Leslie Seidman	10 Beechwood Lane, Westport CT 06880
Director	Luis M. Viceira	Baker Library 367, Boston MA 02163

Signatures

Signature
Title

MARCIA E. ASQUITH
SENIOR VICE PRESIDENT & CORPORATE SECRETARY