



0005297527

**STATE OF IDAHO***Office of the secretary of state, Phil McGrane***ANNUAL REPORT**

Idaho Secretary of State
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File #: 0005297527

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Entity Name and Mailing Address:

Entity Name: FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.
Foreign Name (name in home jurisdiction): FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC.
The file number of this entity on the records of the Idaho Secretary of State is: 0000297091
Address: 1735 K ST NW
WASHINGTON, DC 20006-1506

Entity Details:

Entity Status: Active-Good Standing
This entity is organized under the laws of: DELAWARE
If applicable, the old file number of this entity on the records of the Idaho Secretary of State was: C95885

The registered agent on record is:

Registered Agent: CORPORATION SERVICE COMPANY
Commercial Registered Agent
Physical Address
1305 12TH AVE RD
NAMPA, ID 83686
Mailing Address
1305 12TH AVE RD
NAMPA, ID 83686

Agent or Address Change

☐ Select if you are appointing a new agent.

Corporate Officers and Directors:

Name	Title	Business Address
☒ BILL WOLLMAN	Vice President	1735 K STREET NW WASHINGTON, DC 20006
☒ BRAD AHRENS	Vice President	1735 K STREET NW WASHINGTON, DC 20006
CAMILLE M Busette	Director	1775 MASSACHUSETTS AVE NW BROOKING INSTITUTION WASHINGTON, DC 20036
DEBORAH BAILEY	Director	1200 CALIFORNIA ST APT 19C SAN FRANCISCO, CA 94109
DENISE DOMBAY	Vice President	1735 K STREET NW WASHINGTON, DC 20006
☒ EILEEN K MURRAY	Director	79 TWEED BLVD BRIDGEWATER ASSOCIATES NYACK, NY 10956



■ ERIC NOLL	Director	401 E. CITY AVENUE CONTEXT CAPITAL PARTNERS, #815 BALA CYNWYD, PA 19004
■ ETHIOPIS TAFARA	Director	1818 H STREET, NW MUTILATERAL INVESTMENT GUARANTEE AGENCY WASHINGTON, DC 20436
■ GERALDINE M WALSH	Vice President	1735 K STREET NW WASHINGTON, DC 20006
GREG RUPPERT	Vice President	1735 K STREET NW WASHINGTON, DC 20006
GREGORY J DEAN JR	Vice President	1735 K STREET NW WASHINGTON, DC 20006
■ HILLARY A SALE	Director	600 NEW JERSEY AVE NW GEORGETOWN UNIVERSITY, OFFICER OF FACULTY SUPPORT WASHINGTON, DC 20004
JAMES D NAGENGAST	Director	12325 PORT GRACE BLVD SECURITIES AMERICA, INC. LA VISTA, NE 68128
JAMES T CROWLEY	Director	1 PERSHING PLAZA PERSHING ADVISOR SOLUTIONS LLC JERSEY CITY, NJ 07399
■ JESSICA HOPPER	Vice President	4735 K STREET NW WASHINGTON, DC 20006
■ JOHN (JACK) EHNES	Director	P.O. BOX 15275 CALSTRS SACRAMENTO, CA 95851
JONATHAN S SOKOBIN	Vice President	1735 K STREET NW WASHINGTON, DC 20006
■ KATHRYN RUEMMLER	Director	200 WEST STREET GOLDMAN SACHS & CO., LLC NEW YORK, NY 10282
LANCE F DRUMMOND	Director	14263 NOLEN LN CHARLOTTE, NC 28277
LINDE MURPHY	Director	M.E. ALLISON & CO., INC. 950 E BASSE RD 2ND FL SAN ANTONIO, TX 78209
MARCIA E ASQUITH	Secretary	1735 K STREET NW WASHINGTON, DC 20006
MARCIA E ASQUITH	Vice President	1735 K STREET NW WASHINGTON, DC 20006
MAUREEN DELANEY	Vice President	1735 K STREET NW WASHINGTON, DC 20006
MAUREEN JENSEN	Director	117 CAMERON ST ONTARIO SECURITIES COMMISSION TORONTO, ON N0H 2P0 Canada
MORTIMER J BUCKLEY	Director	100 VANGUARD BLVD MALVERN, PA 19355
■ PAIGE W PIERCE	Director	BLEY INVESTMENT GROUP, INC. 4900 GAGE AVENUE APARTMENT 435 FORT WORTH, TX 76109



PEGGY HO	Director	9 DONIZETTI ST COMMONWEALTH FINANCIAL NETWORK WELLESLEY, MA 02482
RAINA L WASHINGTON	Vice President	1735 K STREET NW WASHINGTON, DC 20006
RICHARD W BERRY	Vice President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT A RENNER	Vice President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT COLBY	Vice President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT W COOK	Director	1735 K STREET NW WASHINGTON, DC 20006
■ ROBERT W COOK	President	1735 K STREET NW WASHINGTON, DC 20006
SAMIR DESHPANDE	Director	500 W MAIN ST HUMANA INC. LOUISVILLE, KY 40202
STEPHANIE DUMONT	Vice President	1735 K STREET NW WASHINGTON, DC 20006
STEVEN J RANDICH	Vice President	1735 K STREET NW WASHINGTON, DC 20006
TIMOTHY C SCHEVE	Director	JANNEY MONTGOMERY SCOTT LLC 1717 ARCH ST 22ND FL PHILADELPHIA, PA 19103
TODD T DIGANCI	Vice President	1735 K STREET NW WASHINGTON, DC 20006
TODD T DIGANCI	Treasurer	1735 K STREET NW WASHINGTON, DC 20006
■ WENDY LANTON	Director	HEROLD & LANTERN INVESTMENTS INC. 35 PINELAWN RD STE 101E MELVILLE, NY 11747
+ Fabiola Arredondo	Director	115 MASON ST. SIEMPRE HOLDINGS GREENWICH, CT 06830
+ Moira Kilcoyne	Director	83 RYERSON ROAD WARWICK, NY 10990
+ Penny Pennington	Director	12555 MANCHESTER RD ST LOUIS, MO 63131

The annual report must be signed by an authorized signer of the entity.

Job Title: Vice President

Robert A. Renner

06/30/2023

Sign Here

Date