



0005790269

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

Idaho Secretary of State
PO Box 83720
Boise, ID 83720-0080
(208) 334-2301
Filing Fee: \$0.00

*For Office Use Only***-FILED-**

File #: 0005790269

Date Filed: 6/27/2024 6:16:40 AM

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: 9509 KEY WEST AVENUE
ROCKVILLE, MD 20850

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:

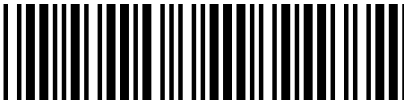
Registered Agent: CORPORATION SERVICE COMPANY
Commercial Registered Agent
Physical Address
1305 12TH AVE RD
NAMPA, ID 83686
Mailing Address
1305 12TH AVE RD
NAMPA, ID 83686

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
☒ ERIC NOLL	Director	401 E. CITY AVENUE CONTEXT CAPITAL PARTNERS, #815 BALA CYNWYD, PA 19004



 ETHIOPIS TAFARA	Director	1818 H STREET, NW MULTILATERAL 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
 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
 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
 MARGIA E ASQUITH	Secretary	1735 K STREET NW WASHINGTON, DC 20006
 MARGIA 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 4717 ARCH ST 22ND FL PHILADELPHIA, PA 19103
☐ TODD T DIGANGI	Vice President	1735 K STREET NW WASHINGTON, DC 20006
☐ TODD T DIGANGI	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	415 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
☐ Peggy Ho	Director	COMMONWEALTH FINANCIAL NETWORK 9 DONIZETTI STREET WELLESLEY, MA 02482
☐ Robert W. Cook	Director	1700 K STREET NW WASHINGTON, DC 20006
☐ Lisa Fairfax	Director	UNIVERSITY OF PENNSYLVANIA 3501 SANSON STREET PHILADELPHIA, PA 19104
☐ Fabiola Arredondo	Director	SIEMPRE HOLDINGS 115 MASON ST GREENWICH, CT 06830
☐ Penny Pennington	Director	EDWARD JONES 12555 MANCHESTER RD ST LOUIS, MO 63131
☐ Moira Kilcoyne	Director	83 RYERSON ROAD, WARWICK, NY 10990



+ James T. Crowley	Director	PERSHING ADVISOR SOLUTIONS LLC ONE PERSHING PLAZA JERSEY CITY, NJ 07399
+ Mortimer J. Buckley	Director	VANGUARD 100 VANGUARD BLVD MALVERN, PA 19355
+ Samir Deshpande	Director	6TH FLOOR HUMANA INC., 500 W MAIN STREET LOUISVILLE, KY 40202
+ Deborah Bailey	Director	1200 CALIFORNIA STREET APARTMENT 19C SAN FRANCISCO, CA 94109
+ Wendy Lanton	Director	HEROLD & LANTERN INVESTMENTS INC, 35 PINELAWN ROAD SUITE 101E MELVILLE, NY 11747
+ Eric Noll	Director	STONE RIDGE CAPITAL PARTNERS LP, ONE BELMONT AVENUE SUITE 600 BALA CYNWYD, PA 19004
+ Robert W. Cook	President	1700 K STREET NW WASHINGTON, DC 20006
+ Marcia E. Asquith	Secretary	1700 K STREET NW WASHINGTON, DC 20006
+ Todd T. Diganci	Treasurer	1700 K STREET NW WASHINGTON, DC 20006

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

Job Title: Vice President

Robert A. Renner

06/27/2024

Sign Here

Date