



0005038672

**STATE OF IDAHO***Office of the secretary of state, Lawrence Denney***ANNUAL REPORT**

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

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-FILED-

File #: 0005038672

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Entity Name and Mailing Address:

Entity Name: FINRA REGULATION, INC.
Foreign Name (name in home jurisdiction): FINRA REGULATION, INC.
The file number of this entity on the records of the Idaho Secretary of State is: 0000360662
Address: FINANCE/TAX
9509 KEY WEST AVE
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: C117352

The registered agent on record is:

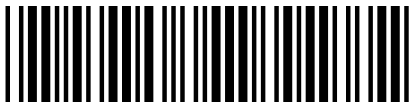
Registered Agent: CORPORATION SERVICE COMPANY
Commercial Registered Agent
Physical Address
1305 12TH AVE RD
NAMPA, ID 83686
Mailing Address
1305 12TH AVE RD
NAMPA, ID 83686

Agent or Address Change

☐ Select if you are appointing a new agent.

Corporate Officers and Directors:

Name	Title	Business Address
BILL WOLLMAN EVP	Vice President	1735 K STREET NW WASHINGTON, DC 20006
CAMILLE M BUSSETTE	Director	1775 MASSACHUSETTS AVENUE NW WASHINGTON, DC 20036
CHRISTOPHER W. FLINT	Director	3120 139TH AVENUE SE SUITE 300 BELLEVUE, AL 98005
EILEEN K MURRAY	Director	79 TWEED BLVD NYACK, NY 10956
ERIC NOLL	Director	401 E. CITY AVENUE #815 BALA CYNWYD, PA 19004
ETHIOPIS TAFARA	Director	1818 H STREET NW WASHINGTON, DC 20436
GERALDINE M WALSH SR. VP	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 AVENUE NW WASHINGTON, DC 20001
JOHN EHNES	Director	PO BOX 15275 SACRAMENTO, CA 95851
JAMES D NAGENGAST EVP	Vice President	12325 PORT GRACE BLVD LA VISTA, NE 68128
JESSICA HOPPER EVP	Vice President	1735 K STREET NW WASHINGTON, DC 20006
JONATHAN S SOKOBIN SR. VP	Vice President	1735 K STREET NW WASHINGTON, DC 20006
LANCE F. DRUMMOND	Director	14263 NOLEN LANE CHARLOTTE, NC 28277
LINDE MURPHY	Director	M.E. ALLISON & CO INC. 950 EAST BASSE ROAD 2ND FL SAN ANTONIO, TX 78209
MARCIA E. ASQUITH EVP	Secretary	1735 K STREET NW WASHINGTON, DC 20006
MAUREEN DELANEY SVP/CHO	Vice President	1735 K STREET NW WASHINGTON, DC 20006
MAUREEN JENSEN	Director	ONTARIO SECURITIES COMMISSION TORONTO ONTARIO Canada
■ PAIGE W PIERCE	Director	BLEY INVESTMENT GROUP 4900 GAGE AVENUE, APARTMENT 435 FORT WORTH, TX 76109
RAINIA L WASHINGTON EVP	Vice President	1735 K STREET NW WASHINGTON, DC 20006
RICHARD W BERRY EVP	Vice President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT W COOK	President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT W COOK	Director	1735 K STREET NW WASHINGTON, DC 20006
ROBERT A RENNER	Vice President	1735 K STREET NW WASHINGTON, DC 20006
ROBERT COLBY EVP/CLO	Vice President	1735 K STREET NW WASHINGTON, DC 20006
STEVEN J RANDICH EVP/CIO	Vice President	1735 K STREET NW WASHINGTON, DC 20006
TIMOTHY C SCHEVE	Director	1717 ARCH STREET FL 22 PHILADELPHIA, PA 19103
TODD T DIGANCI EVP/CFO	Treasurer	1735 K STREET NW WASHINGTON, DC 20006
WENDY LANTON	Director	35 PINELAWN ROAD SUITE 101 E MELVILLE, NY 11747
BRAD AHRENS	Vice President	1735 K STREET NW WASHINGTON, DC 20006



DEBORAH BAILEY	Director	1200 CALIFORNIA STREET APT 19C SAN FRANCISCO, CA 94109
DENISE DOMBAY	Vice President	1735 K STREET NW WASHINGTON, DC 20006
GREG RUPERT	Vice President	1735 K STREET NW WASHINGTON, DC 20006
JAMES T. CROWLEY	Director	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
KATHRYN RUEMMLER	Director	200 WEST STREET NEW YORK, NY 10282
MORTIMER J. BUCKLEY	Director	100 VANGUARD BLVD MALVERN, PA 19355
PEGGY HO	Director	9 DONIZETTI STREET WELLESLEY, MA 02482
SAMIR DESHPANDE	Director	HUMANA INC, 500 WEST MAIN STREET LOUISVILLE, KY 40202
STEPHANIE DUMONT	Vice President	1735 K STREET NW WASHINGTON, DC 20006
WENDY LANTON	Director	35 PINELAWN ROAD SUITE 101E MELVILLE, NY 11747

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

Job Title: Secretary

Marcia E. Asquith

Sign Here

12/27/2022

Date