

# 2005 FOR PROFIT CORPORATION ANNUAL REPORT

**FILED**  
**Feb 18, 2005 8:00 am**  
**Secretary of State**

02-18-2005 90049 026 \*\*\*150.00

|                                                                |  |                                                                                   |
|----------------------------------------------------------------|--|-----------------------------------------------------------------------------------|
| <b>DOCUMENT # P15025</b>                                       |  |  |
| 1. Entity Name<br><b>TD WATERHOUSE INVESTOR SERVICES, INC.</b> |  |                                                                                   |

|                                                                              |                                                                                  |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| Principal Place of Business<br><b>100 WALL STREET<br/>NEW YORK, NY 10005</b> | Mailing Address<br><b>100 WALL STREET<br/>LEGAL DEPT.<br/>NEW YORK, NY 10005</b> |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------|

**50017197**



|                                |         |                     |         |
|--------------------------------|---------|---------------------|---------|
| 2. Principal Place of Business |         | 3. Mailing Address  |         |
| Suite, Apt. #, etc.            |         | Suite, Apt. #, etc. |         |
| City & State                   |         | City & State        |         |
| Zip                            | Country | Zip                 | Country |

01182005 Chg-P CR2E034 (10/03)

|                                    |                                                        |
|------------------------------------|--------------------------------------------------------|
| 4. FEI Number<br><b>06-0988655</b> | Applied For<br><input type="checkbox"/> Not Applicable |
|------------------------------------|--------------------------------------------------------|

|                                                           |                                       |
|-----------------------------------------------------------|---------------------------------------|
| 5. Certificate of Status Desired <input type="checkbox"/> | <b>\$8.75</b> Additional Fee Required |
|-----------------------------------------------------------|---------------------------------------|

|                                                                                                                                       |  |
|---------------------------------------------------------------------------------------------------------------------------------------|--|
| 6. Name and Address of Current Registered Agent<br><b>CT CORPORATION SYSTEM<br/>1200 S. PINE ISLAND ROAD<br/>PLANTATION, FL 33324</b> |  |
|---------------------------------------------------------------------------------------------------------------------------------------|--|

|                                                    |          |
|----------------------------------------------------|----------|
| 7. Name and Address of New Registered Agent        |          |
| Name                                               |          |
| Street Address (P.O. Box Number is Not Acceptable) |          |
| City                                               |          |
| <b>FL</b>                                          | Zip Code |

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. I am familiar with, and accept the obligations of registered agent.

SIGNATURE \_\_\_\_\_  
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating) DATE \_\_\_\_\_

|                                                                               |                                                                                                                           |
|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| <b>FILE NOW!!! FEE IS \$150.00<br/>After May 1, 2005 Fee will be \$550.00</b> | 9. Election Campaign Financing<br>Trust Fund Contribution. <input type="checkbox"/> <b>\$5.00</b> May Be<br>Added to Fees |
|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|

| 10. OFFICERS AND DIRECTORS - <b>See ATTACHED</b> |                                                                                                                       | ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11 |                                                                   |
|--------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|-------------------------------------------------------------------|
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | T/D<br>STERNS, KEVIN B<br>15 CHARLES STREET APT 12-A<br>NEW YORK, NY 11014 <input checked="" type="checkbox"/> Delete | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | DVS<br>NEIMAN, RICHARD<br>39 EAST 75TH STREET #1-E<br>NEW YORK, NY 10021 <input type="checkbox"/> Delete              | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | D<br>PETRILLI, FRANK J.<br>22 CONNOR COURT<br>IRVINGTON, NY <input checked="" type="checkbox"/> Delete                | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | P<br>BARRA, JOSEPH<br>19 CORWIN COURT<br>DIX HILLS, NY 11746 <input checked="" type="checkbox"/> Delete               | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | V<br>WELS, ANDREW<br>4 HILLS POINT LANE<br>RYE BROOK, NY 10573 <input type="checkbox"/> Delete                        | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |
| TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP   | <input type="checkbox"/> Delete                                                                                       | TITLE<br>NAME<br>STREET ADDRESS<br>CITY-ST-ZIP    | <input type="checkbox"/> Change <input type="checkbox"/> Addition |

12. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

**SIGNATURE:** Thomas J. Textor Thomas J. Textor 212 908-7477  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

# ATTACHMENT

50017197  
# P15025

| Full Legal Name             | Status                               | Home address                                                    | Office address                      |
|-----------------------------|--------------------------------------|-----------------------------------------------------------------|-------------------------------------|
| TD WATERHOUSE GROUP, INC.   | SHAREHOLDER                          | N/A                                                             |                                     |
| NEIMAN, RICHARD HOWARD      | DIRECTOR, GENERAL COUNSEL, SECRETARY | 734 FOREST AVENUE, RYE, NY 10580                                | 100 WALL STREET, NEW YORK, NY 10005 |
| PINNINGTON, TIMOTHY PETER   | CEO, PRESIDENT, CHAIRMAN             | 9 KNIGHTSBIDGE CLOSE WILMSLOW, CHESHIRE, UNITED KINGDOM SK9 2GQ | 100 WALL STREET, NEW YORK, NY 10005 |
| LAU, PATRICIA PO CHUI       | DIRECTOR, CHIEF FINANCIAL OFFICER    | 8309 7TH AVE BROOKLYN, NY 11228                                 | 100 WALL STREET, NEW YORK, NY 10005 |
| ARMELLINO, JOSEPH           | SVP                                  | 10 PRINCE COURT, MALVERNE, NY 11565                             | 55 WATER STREET, NEW YORK, NY 10041 |
| GUZMAN, RALPH EMILIO        | SVP                                  | 43 DELAFIELD AVE, STATEN ISLAND, NY 10301                       | 100 WALL STREET, NEW YORK, NY 10005 |
| BRADLEY, JOHN THOMAS JR.    | EVP SALES                            | 11 OLDCHESTER ROAD, ESSEX FELS, NJ 07021                        | 100 WALL STREET, NEW YORK, NY 10005 |
| FINN, KEVIN FRANCIS JR      | SVP                                  | 201 WINDSOR AVENUE, ROCKVILLE CENTRE, MD 11570                  | 100 WALL STREET, NEW YORK, NY 10005 |
| HERREL, CHRISTOPHER FREDRIC | SVP                                  | 1114 BANCROFT LANE, YARDLEY, PA 19067                           | 100 WALL STREET, NEW YORK, NY 10005 |
| HERTE, BRIAN GERARD         | SVP                                  | 21 ROUNDABEND ROAD, TARRYTOWN, NY 10591                         | 100 WALL STREET, NEW YORK, NY 10005 |
| QUERCIA, THOMAS FRANCIS     | SROP, SVP                            | 3 BRIAR HILL DRIVE, MANALPAN, NJ 07726                          | 100 WALL STREET, NEW YORK, NY 10005 |
| RZASA, RICHARD JOHN         | EVP INFORMATION SERVICES             | 211 THIRD STREET, #2, HOBOKEN, NJ 07030                         | 100 WALL STREET, NEW YORK, NY 10005 |
| BERTUCELLI, JOHN ANDREW     | CROP                                 | 3204 AMBOY ROAD, STATEN ISLAND, NY 10306                        | 100 WALL STREET, NEW YORK, NY 10005 |
| TEXTOR, THOMAS JOSEPH       | CHIEF COMPLIANCE OFFICER - BD        | 116 ATKINSON RD, ROCKVILLE CENTRE, NY 11570                     | 100 WALL STREET, NEW YORK, NY 10005 |
| CASEY, KEVIN DANIEL         | MUNICIPAL SECURITIES PRINCIPAL       | 295 MIDDLE ROAD, HOLMDEL, NJ 07733                              | 125 MAIDEN LANE, NEW YORK, NY 10041 |
| VERGA, ANTHONY MATTHEW      | CHIEF COMPLIANCE OFFICER - RIA       | 5 BOWERS DRIVE, FREEHOLD, NJ 07728                              | 100 WALL STREET, NEW YORK, NY 10005 |