

# 2007 FOR PROFIT CORPORATION ANNUAL REPORT

**FILED**  
**May 31, 2007 8:00 am**  
**Secretary of State**

05-31-2007 90002 002 \*\*\*158.75

DOCUMENT # F94000005533

1. Entity Name  
TD SECURITIES (USA) INC.



Principal Place of Business

31 WEST 52ND ST., 21ST FLOOR 20<sup>th</sup> FL  
NEW YORK, NY 10019

Mailing Address

31 WEST 52ND ST., 21ST FLOOR 20<sup>th</sup> FL  
NEW YORK, NY 10019

**DO NOT WRITE IN THIS SPACE**



05162007 No Chg-P CR2E034 (11/05)

4. FEI Number  
22-2203727

Applied For  
Not Applicable

5. Certificate of Status Desired ☒ \$8.75 Additional  
Fee Required

## 6. Name and Address of Current Registered Agent

NRAI SERVICES, INC.  
2731 EXECUTIVE PARK DRIVE  
SUITE 4  
WESTON, FL 33331

**DO NOT WRITE  
IN THIS SPACE**

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

**FILE NOW!!! FEE IS \$150.00**  
**Due by September 14, 2007**

9. Election Campaign Financing  
Trust Fund Contribution. ☐

**\$5.00 May Be**  
**Added to Fees**

In accordance with s. 607.193(2)(b), F.S., the  
corporation did not receive the prior notice.

## 10. OFFICERS AND DIRECTORS

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
CEOD  
O'HALLORAN, BRENDAN  
31 WEST 52ND ST., 21ST FLOOR  
NEW YORK, NY 10019

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
CFOD  
TRIPODI, FRANK  
31 WEST 52ND ST., 21ST FLOOR  
NEW YORK, NY 10019

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
MD  
PEACOCK, JEFFREY  
31 WEST 52ND ST., 21ST FLOOR  
NEW YORK, NY 10019

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
D  
O'LEARY, ROBERT  
66 WELLINGTON STREET  
TORONTO ONTARIO CANADA,

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
S  
EIDE, NADINE  
31 WEST 52ND ST., 21ST FLOOR  
NEW YORK, NY 10019

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP  
COAS  
KRAUS, ROBIN  
31 WEST 52ND ST., 21ST FLOOR  
NEW YORK, NY 10019

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12. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, 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:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

5-15-07 212-827-7131

ATTACHMENT

40119199

#F94000005533



**TD SECURITIES (USA) LLC**  
**MANAGING BOARD OF DIRECTORS AND**  
**COMPANY OFFICERS**  
**May 31, 2007**

<u>NAME</u>	<u>TITLE</u>	<u>BUSINESS ADDRESS</u>	<u>RESIDENCE</u>
TD Holdings II Inc. EIN: 20-1177269	Sole Member	31 West 52nd St New York, NY 10019	
O'Halloran, Brendan CRD: 2074290	CEO & Director	31 West 52 <sup>nd</sup> St. New York, NY 10019	259 Marvin Ridge Road New Canaan, CT 06840
Tripodi, Frank CRD: 1593106	CFO & Director	31 West 52 <sup>nd</sup> St. New York, NY 10019	7 Rebecca Drive Middletown, NJ 07748
Peacock, Jeffrey CRD: 1548052	Managing Director & Director	31 West 52 <sup>nd</sup> St. New York, NY 10019	12 Windsor Drive Livingston, NJ 07039
Robert O'Leary CRD: 2757246	Director	66 Wellington Street Toronto Ontario Canada	3660 Green Bower Ct Mississauga Canada L5L1P2
Kraus, Robin CRD: 1771485	Chief Compliance Officer & Assistant Secretary	31 West 52 <sup>nd</sup> St New York, NY 10019	145 E. 22 <sup>nd</sup> St. New York, NY 10010
Ferando, Elizabeth CRD: 3085288	Senior Legal Officer & Assistant Secretary	31 West 52 <sup>nd</sup> Street New York, NY 10019	2000 Broadway New York, NY 10023
Franco, Suzanne	Secretary	31 West 52 <sup>nd</sup> St. New York, NY 10019	36 West 44 <sup>th</sup> ST. Bayonne, NJ 07002