

FILE NOW: FILING FEE AFTER MAY 1 IS \$225.00

1-3

PROFIT
CORPORATION
ANNUAL REPORT
1996



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

DOCUMENT # P00261
1. Corporation Name

NYLIFE Securities Inc.

Principal Place of Business

Mailing Address

260 Cherry Hill Rd.
Parsippany, NJ 07054

51 Madison Avenue
Room 2210
New York, N.Y. 10010

3. Date Incorporated or Qual Fed
12/13/1983

3a. Date of Last Report
1/29/1995

2. Principal Place of Business

2a. Mailing Address

4. FEI Number
13-2649692

Applied For
Not Applicable

21. Suite, Apt. #, etc.

26. Suite, Apt. #, etc.

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

22. City & State

27. City & State

6. Election Campaign Financing
Trust Fund Contribution ☐

\$5.00 May Be
Added to Fees

23. Zip

Country

28. Zip

Country

8. This corporation has liability for intangible tax under s. 199.03?
Florida Statutes ☐ Yes ☒ No

24.

25.

29.

30.

9. Name and Address of Current Registered Agent

10. Name and Address of New Registered Agent

The Prentice-Hall Corporation System Inc.
1201 Hays Street
Suite 105
Tallahassee, FL 32301

81. Name

82. Street Address (P.O. Box Number is Not Acceptable)

83.

84. City

FL

85. Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508 Florida Statutes, the above named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

Signature of person or firm named as registered agent and identified above

Signature of Registered Agent (Signature not required if www.filedirect.org)

DATE

12. OFFICERS AND DIRECTORS

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

TITLE
NAME
STREET ADDRESS
CITY, ST, ZIP

See Attached

☐ DELETE

1.1 TITLE
1.2 NAME
1.3 STREET ADDRESS
1.4 CITY, ST, ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY, ST, ZIP

☐ DELETE

2.1 TITLE
2.2 NAME
2.3 STREET ADDRESS
2.4 CITY, ST, ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY, ST, ZIP

☐ DELETE

3.1 TITLE
3.2 NAME
3.3 STREET ADDRESS
3.4 CITY, ST, ZIP

☐ Change ☐ Addition

TITLE
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CITY, ST, ZIP

☐ DELETE

4.1 TITLE
4.2 NAME
4.3 STREET ADDRESS
4.4 CITY, ST, ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY, ST, ZIP

☐ DELETE

5.1 TITLE
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5.4 CITY, ST, ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY, ST, ZIP

☐ DELETE

6.1 TITLE
6.2 NAME
6.3 STREET ADDRESS
6.4 CITY, ST, ZIP

☐ Change ☐ Addition

200001788322
-04/22/96--01027--006
***200.00

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

John H. O'Byrne

(212) 576-6556

CR2E034 (12/95)

*New York Life Insurance Company - Subsidiary Directory***NYLIFE Securities Inc.**

300 Interpace Parkway, Parsippany, NJ 07054

Tele: (201) 299-5804

Fax: (201) 316-4793

Incorporated State: New York
Incorporated Date: 12/24/1969
Business Division: Subsidiary
Parent Entity: NYLIFE Inc. (100%)
Federal ID #: 13-2649692
Business Contact(s): Richard A. Topp, Parsippany office, ext. 842028
General Attorney: Sheila J. Kearney, ext. 5353
Corporate Attorney: Nancy Brenner, ext. 5737

Directors***Title***

Patrick G. Boyle	Director
Lee M. Gammill, Jr.	Director
Alice T. Kane	Director
Richard M. Kernan, Jr.	Director
Michael J. Nocera	Director
Anthony W. Polis	Director
Robert D. Rock	Director
Lester L. Schoenberg	Director
Richard A. Topp	Director
Walter W. Ubl	Director
Thomas J. Warga	Director

Officers***Title***

Richard A. Topp	President and Chief Executive Officer
Robert D. Rock	Senior Vice President
Thomas J. Warga	Senior Vice President and General Auditor
Robert E. Brady	Vice President
Jay S. Calhoun	Vice President and Treasurer
Linda M. Livornese	Vice President
Frank Mistero	Vice President
Michael J. Nocera	Vice President
John H. O'Byrne	Vice President and Chief Compliance Officer
Anthony W. Polis	Vice President and Chief Financial Officer
Walter W. Ubl	Vice President
Louis H. Adasse	Corporate Vice President
Robert P. Coslian	Corporate Vice President
Kevin M. Micucci	Corporate Vice President
A. Paul Olson	Corporate Vice President
Robert Ziegler	Corporate Vice President
Richard W. Zuccaro	Tax Vice President

As of December 31, 1995

*New York Life Insurance Company - Subsidiary Directory***NYLIFE Securities Inc. (continued)*****Officers (continued)***

	<i>Title</i>
George R. Daoust	Assistant Vice President
Thomas Murray	Assistant Vice President
Joseph O'Neill	Assistant Vice President
Nancy Brenner	Secretary
Sheila J. Kearney	Assistant Secretary
Thomas Gilder	Branch Vice President

Executive Committee

	<i>Title</i>
Patrick G. Boyle	Committee Member
Alice T. Kane	Committee Member
Anthony W. Polis	Committee Member
Richard A. Topp	Committee Member

Brief Description:

A registered broker/dealer and a subsidiary of NYLIFE Inc. It was created to distribute individual variable products, the sale of which is regulated by the Securities and Exchange Commission. It currently distributes variable life insurance, multi-funded annuities, mutual funds, and direct participation programs. NYLIFE Securities has entered into arrangements with clearing firms whereby it acts as an introducing broker for retail general securities transactions and for certain portfolio transactions. It was incorporated in New York on December 24, 1969, and is registered as a broker/dealer in all states and the District of Columbia.

As of December 31, 1995