

2001 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # P00261

1. Entity Name
NYLIFE SECURITIES, INC.

FILED
Mar 02, 2001 8:00 am
Secretary of State
03-02-2001 90104 001 ***150.00

0002610



DO NOT WRITE IN THIS SPACE

Principal Place of Business 51 MADISON AVENUE NEW YORK NY 10010 US		Mailing Address 51 MADISON AVE. RM 2212 NEW YORK NY 10010	
2. Principal Place of Business		3. Mailing Address	
Suite, Apt. #, etc.		Suite, Apt. #, etc. Rm 2210	
City & State		City & State	
Zip	Country	Zip	Country

4. FEI Number 13-2649692	Applied For <input type="checkbox"/> Not Applicable
5. Certificate of Status Desired <input type="checkbox"/> \$8.75 Additional Fee Required	

6. Name and Address of Current Registered Agent C T CORPORATION SYSTEM 1200 SOUTH PINE ISLAND RD. PLANTATION FL 33324		7. Name and Address of New Registered Agent Name Street Address (P.O. Box Number is Not Acceptable) City FL Zip Code	
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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.

SIGNATURE _____ (NOTE: Registered Agent signature required when reinstating) DATE _____

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. <input type="checkbox"/> (See criteria on back)	FILE NOW!!! FEE IS \$150.00 After MAY 1, 2001 Fee will be \$550.00 Make Check Payable to Department of State	10. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/> \$5.00 May Be Added to Fees
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11. OFFICERS AND DIRECTORS		12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D DINIRO, JOHN J. 51 MADISON AVE NEW YORK NY 10010 <input checked="" type="checkbox"/> Delete *see attached listing*	TITLE NAME STREET ADDRESS CITY-ST-ZIP	*see attached listing* <input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D POLIS, ANTHONY W. 2 LINCOLN AVE. MASSAPEQUA PARK NY <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D HILDEBRAND, PHILLIP 51 MADISON AVE NEW YORK NY 10010 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D GOLDFINGER, SOLOMON 51 MADISON AVE. NEW YORK NY 10010 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S GOMEZ, MARK 51 MADISON AVENUE NEW YORK NY 10010 <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	V O'BYRNE, JOHN H. 159 DEER RUN RD. WILTON CT <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition

13. 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 11 or Block 12 if changed, or on an attachment with an address, with another like empowered.

SIGNATURE: _____

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Mark Gomez 2-13-2001 (212) 516-6910
Date Daytime Phone #

CR2E034 (10/00)

Attachment Document # P00261

Direct Owners/Executive Officers

COO28916

Organization CRD#: 5167	Organization Name: NYLIFE SECURITIES INC.
Organization SEC#: 8-15517	Applicant Name: NYLIFE SECURITIES INC.

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD# EIN, SSN, IRS#
BRENNAN, STEPHEN WILLIAM	Individual	ASSISTANT SECRETARY	09/2000	Less than 5%	N	N	31690
NELSON, PENNY LEE	Individual	VICE PRESIDENT	12/2000	Less than 5%	N	N	13452
SPRINGSTEEN, CAROL ELLEN	Individual	VICE PRESIDENT	12/2000	Less than 5%	N	N	32082
LEAHY, MICHAEL DENNIS	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	24122
MELLBYE, JAMES ROGER	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	25922
BROWN, LINDA KAY	Individual	ASSISTANT VICE PRESIDENT AND CHIEF MARKETING OFFICER	12/2000	Less than 5%	N	N	16722
ABDELFATTAH, YASSER M	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	146-74838
FRANKI, NICHOLAS MATTHEW JR	Individual	ASSISTANT VICE PRESIDENT	12/2000	Less than 5%	N	N	23322
HERSCH, JOSEPH SAM	Individual	ASSISTANT VICE PRESIDENT	12/2000	Less than 5%	N	N	15082
MAGNAN, ROBERT JOSEPH	Individual	ASSISTANT VICE PRESIDENT	12/2000	Less than 5%	N	N	10082
ADASSE, LOUIS H	Individual	CORPORATE VICE PRESIDENT	05/1989	Less than 5%	N	N	85936
BRADY, ROBERT EDWARD	Individual	VICE PRESIDENT	12/1994	Less than 5%	N	N	17010

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CALHOUN, JAY STEELE	Individual	SENIOR VICE PRESIDENT AND TREASURER	11/1999	Less than 5%	N	N	203-43176
GOLDFINGER, SOLOMON	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	2353
GOMEZ, MARK ANDREW	Individual	VICE PRESIDENT	09/2000	Less than 5%	N	N	1797
HILDEBRAND, PHILLIP JOHN	Individual	DIRECTOR	03/1997	Less than 5%	Y	N	8268
KERNAN, RICHARD MICHAEL	Individual	DIRECTOR	06/1985	Less than 5%	Y	N	1417
LEVY, RICHARD DAVID	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	164-37535
MURRAY, THOMAS JOSEPH	Individual	CORPORATE VICE PRESIDENT	09/1996	Less than 5%	N	N	1894
ONEILL, JOSEPH WILLIAM	Individual	CORPORATE VICE PRESIDENT AND CHIEF FINANCIAL OFFICER	12/2000	Less than 5%	Y	N	2098
OSULLIVAN, JEAN MARY	Individual	VICE PRESIDENT AND DIRECTOR	12/2000	Less than 5%	Y	N	3098
ROCK, ROBERT DONALD	Individual	SENIOR VICE PRESIDENT	11/1990	Less than 5%	N	N	1831
ROUSSIN, STEPHEN CRAIG	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	1441
SIEVERT, FREDERICK JAMES	Individual	DIRECTOR	09/1996	Less than 5%	Y	N	2746
WHITTAKER, LORI S	Individual	SECRETARY	09/2000	Less than 5%	N	N	060-63754
ZUCCARO, RICHARD WILLIAM	Individual	VICE PRESIDENT	11/1999	Less than 5%	N	N	090-43948
MCINERNEY, BARBARA JOAN	Individual	SENIOR VICE PRESIDENT & CHIEF COMPLIANCE	09/2000	Less than 5%	N	N	1903

CD0028916

		OFFICER					
NYLIFE LLC.	Domestic Entity	SHAREHOLDER	09/1999	75% or more	Y	N	13-3198
REEVES, MICHAEL W	Individual	SENIOR VICE PRESIDENT	11/1999	Less than 5%	N	N	3728
EISS, MITCHELL HOWARD	Individual	CORPORATE VICE PRESIDENT	11/1999	Less than 5%	N	N	1498
ROCCHI, GERARD ANTHONY	Individual	CHAIRMAN, PRESIDENT, CHIEF EXECUTIVE OFFICER AND DIRECTOR	12/2000	Less than 5%	Y	N	1867
YASHNYK, MICHAEL ANTHONY	Individual	CORPORATE VICE PRESIDENT	09/1999	Less than 5%	N	N	2051
MATHAS, THEODORE ALEXANDER	Individual	DIRECTOR	08/1999	Less than 5%	Y	N	2747
MEIROWITZ, MARK	Individual	ASSISTANT SECRETARY	09/2000	Less than 5%	N	N	095-41735
MORRIS, PAUL BUNN	Individual	SENIOR VICE PRESIDENT	12/1999	Less than 5%	N	N	1095
LIVORNESE, LINDA MARIE	Individual	VICE PRESIDENT	01/2000	Less than 5%	N	N	1831
GALLO, MICHAEL G	Individual	SENIOR VICE PRESIDENT	12/2000	Less than 5%	N	N	2456