

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 27, 2002 8:00 am
Secretary of State

01-27-2002 90010 049 ***150.00

6883390
 JS

DOCUMENT # P00261

1. Entity Name

NYLIFE SECURITIES, INC.

Principal Place of Business

**51 MADISON AVENUE
 NEW YORK NY 10010
 US**

Mailing Address

**51 MADISON AVE.
 RM 2210
 NEW YORK NY 10010**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

13-2649692

Applied For

Not Applicable

5. Certificate of Status Desired ☐

**\$8.75 Additional
 Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**C T CORPORATION SYSTEM
 1200 SOUTH PINE ISLAND RD.
 PLANTATION FL 33324**

Name

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

City

FL

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.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(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.
 (See criteria on back) ☐

**FILE NOW!!! FEE IS \$150.00
 After May 1, 2002 Fee will be \$550.00
 Make Check Payable to Department of State**

10. Election Campaign Financing
 Trust Fund Contribution. ☐

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

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE ☐ Delete
 NAME **D**
 STREET ADDRESS **HILDEBRAND, PHILLIP**
 CITY-ST-ZIP **51 MADISON AVE
 NEW YORK NY 10010**

**Please*

TITLE ☐ Change ☐ Addition
 NAME *see attached listing**
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME **D**
 STREET ADDRESS **GOLDFINGER, SOLOMON**
 CITY-ST-ZIP **51 MADISON AVE.
 NEW YORK NY 10010**

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME **S**
 STREET ADDRESS **GOMEZ, MARK**
 CITY-ST-ZIP **51 MADISON AVENUE
 NEW YORK NY 10010**

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

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 all other like empowered.

SIGNATURE: Thomas Murray
 SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

1/22/02 (612) 576-3957
 Daytime Phone #

CR2E034 (9/01)

Attachment
Doc# P00261/808852
Direct Owners/Executive Officers

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	<u>3169077</u>
HERRERA, RAFAELA MARIA	Individual	CORPORATE VICE PRESIDENT	05/2001	Less than 5%	N	N	<u>1394502</u>
YOUNG, DANIEL JONATHAN	Individual	CORPORATE VICE PRESIDENT	05/2001	Less than 5%	N	N	<u>4311062</u>
ASCIONE, MITCHELL PARY	Individual	ASSISTANT VICE PRESIDENT	05/2001	Less than 5%	N	N	<u>1897252</u>
MARYANOPOLIS, CHRISTOPHER	Individual	ASSISTANT VICE PRESIDENT	05/2001	Less than 5%	N	N	<u>3041077</u>
NELSON, PENNY LEE	Individual	VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>1345205</u>
SPRINGSTEEN, CAROL ELLEN	Individual	VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>3208375</u>
LEAHY, MICHAEL DENNIS	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>2412761</u>
MELLBYE, JAMES ROGER	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>2592927</u>
BROWN, LINDA KAY	Individual	ASSISTANT VICE PRESIDENT AND CHIEF MARKETING OFFICER	12/2000	Less than 5%	N	N	<u>1672472</u>
ABDELFATTAH, YASSER M	Individual	CORPORATE VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>146-72-4838</u>
FRANKI, NICHOLAS MATTHEW JR	Individual	CORPORATE VICE PRESIDENT	05/2001	Less than 5%	N	N	<u>2332548</u>
HERSCH, JOSEPH SAM	Individual	ASSISTANT VICE	12/2000	Less than 5%	N	N	<u>1508671</u>

		PRESIDENT					
MAGNAN, ROBERT JOSEPH	Individual	ASSISTANT VICE PRESIDENT	12/2000	Less than 5%	N	N	1008296
BRADY, ROBERT EDWARD	Individual	VICE PRESIDENT	12/1994	Less than 5%	N	N	1701096
CALHOUN, JAY STEELE	Individual	SENIOR VICE PRESIDENT AND TREASURER	11/1999	Less than 5%	N	N	203-46-3176
GOLDFINGER, SOLOMON	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	2353192
GOMEZ, MARK ANDREW	Individual	VICE PRESIDENT & SECRETARY	10/2001	Less than 5%	N	N	1797349
HILDEBRAND, PHILLIP JOHN	Individual	DIRECTOR	03/1997	Less than 5%	Y	N	826888
LEVY, RICHARD DAVID	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	164-38-7535
MURRAY, THOMAS JOSEPH	Individual	CORPORATE VICE PRESIDENT	09/1996	Less than 5%	N	N	1894655
ONEILL, JOSEPH WILLIAM	Individual	CORPORATE VICE PRESIDENT AND CHIEF FINANCIAL OFFICER	12/2000	Less than 5%	Y	N	2098884
OSULLIVAN, JEAN MARY	Individual	VICE PRESIDENT AND DIRECTOR	12/2000	Less than 5%	Y	N	3098478
ROCK, ROBERT DONALD	Individual	SENIOR VICE PRESIDENT	11/1990	Less than 5%	N	N	1831539
ROUSSIN, STEPHEN CRAIG	Individual	DIRECTOR	06/1998	Less than 5%	Y	N	1441872
SIEVERT, FREDERICK JAMES	Individual	DIRECTOR	09/1996	Less than 5%	Y	N	2746844
ZUCCARO, RICHARD WILLIAM	Individual	VICE PRESIDENT	11/1999	Less than 5%	N	N	090-42-3948
MCINERNEY, BARBARA JOAN	Individual	SENIOR VICE PRESIDENT & CHIEF COMPLIANCE OFFICER	09/2000	Less than 5%	N	N	1903614
NYLIFE LLC.	Domestic Entity	SHAREHOLDER	09/1999	75% or more	Y	N	13-3198392

REEVES, MICHAEL W	Individual	SENIOR VICE PRESIDENT	11/1999	Less than 5%	N	N	<u>372888</u>
ROCCHI, GERARD ANTHONY	Individual	CHAIRMAN, PRESIDENT, CHIEF EXECUTIVE OFFICER AND DIRECTOR	12/2000	Less than 5%	Y	N	<u>1867122</u>
MATHAS, THEODORE ALEXANDER	Individual	DIRECTOR	08/1999	Less than 5%	Y	N	<u>2747626</u>
MEIROWITZ, MARK	Individual	ASSISTANT SECRETARY	09/2000	Less than 5%	N	N	<u>095-42- 1735</u>
MORRIS, PAUL BUNN	Individual	SENIOR VICE PRESIDENT	12/1999	Less than 5%	N	N	<u>1095318</u>
LIVORNESE, LINDA MARIE	Individual	VICE PRESIDENT	01/2000	Less than 5%	N	N	<u>1831474</u>
GALLO, MICHAEL G	Individual	SENIOR VICE PRESIDENT	12/2000	Less than 5%	N	N	<u>2456271</u>
ECKARDT, CATHERINE LYNN	Individual	VICE PRESIDENT	11/2001	Less than 5%	N	N	<u>863606</u>
POLLACK, ANNE	Individual	DIRECTOR	11/2001	Less than 5%	Y	N	<u>129-38- 6986</u>
KEATING, MAURYA C.	Individual	ASSISTANT SECRETARY	10/2001	Less than 5%	N	N	<u>134-54- 8337</u>