



State of Rhode Island and Providence Plantations  
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corporation  
Annual Report**

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

**ANNUAL REPORT YEAR:** 2013

**1. Corporate ID No.** 000100937

**2. Name of Corporation** NATIONAL PLANNING CORPORATION

**3. Street Address Principal Business Office:**

No. and Street: 401 WILSHIRE BOULEVARD  
SUITE 1100

City or Town: SANTA MONICA State: CA Zip: 90401 Country: USA

**4. Business Phone No.**

517-381-5500

**5. State of Incorporation**

State: DE

**6. Brief Description of the Character of Business Conducted in Rhode Island**

SECURITIES BROKER-DEALER

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

| Title               | Individual Name<br>First, Middle, Last, Suffix | Address<br>Address, City or Town, State, Zip Code, Country |
|---------------------|------------------------------------------------|------------------------------------------------------------|
| SECRETARY           | THOMAS J MEYER                                 | 1 CORPORATE WAY<br>LANSING, MI 48951 USA                   |
| ASSISTANT SECRETARY | JULIA GOATLEY                                  | 1 CORPORATE WAY<br>LANSING, MI 48951 USA                   |
| 1ST VP              | SEAN HALEY                                     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA  |
| VICE PRESIDENT      | MARIA J LINDSLEY                               | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA  |

|                 |                   |                                                           |
|-----------------|-------------------|-----------------------------------------------------------|
| 1ST VP          | KIRSTEN BOSCH     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | MARK PAGE         | 401 WILSHIRE BLD, STE 1100<br>SANTA MONICA, CA 90401 USA  |
| CFO & SENIOR VP | MAURA COLLINS     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | MICHAEL SCHAB     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | SCOTT FORBUSH     | 1 CORPORATE WAY<br>LANSING, MI 48951 USA                  |
| ASSIST VP       | ALFREDO GOMEZ     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | MARY K HANK       | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | RUSIAN LEVIN      | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | DANIEL WEISS      | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | WENDY MARTINEZ    | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| CONTROLLER & VP | VANESSA RODRIGUEZ | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| SENIOR VP       | GERRY GUNDERSON   | 212 N 4TH STREET<br>BISMARCK, ND 58501 USA                |
| ASSIST VP       | JAMES D GARRISON  | 1 CORPORATE WAY<br>LANSING, MI 48951 USA                  |
| ASSIST VP       | TODD MANEVAL      | 1 CORPORATE WAY<br>LANSING, MI 48951 USA                  |
| VICE PRESIDENT  | CRAIG LEWIS       | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| PRESIDENT & CEO | JOHN JOHNSON      | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | ALLAN AVENA       | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| 1ST VP          | KATHLEEN FEREDAY  | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| 1ST VP          | RANDALL MILLER    | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | ROBIN ALONSO      | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | CHAD MAHAFFEY     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | TIMOTHY P. STONE  | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | JIM DEFALCO       | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | KEITH MISTRETTA   | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| VICE PRESIDENT  | SCOTT MONTGOMERY  | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| ASSIST VP       | JEFF GRIFFITH     | 401 WILSHIRE BLVD, STE 1100<br>SANTA MONICA, CA 90401 USA |
| DIRECTOR        | JAMES LIVINGSTON  | 7601 TECHNOLOGY WAY<br>DENVER, CO 80237 USA               |

|          |                |                                          |
|----------|----------------|------------------------------------------|
| DIRECTOR | THOMAS J MEYER | 1 CORPORATE WAY<br>LANSING, MI 48951 USA |
|----------|----------------|------------------------------------------|

**8. Shares Authorized and Issued**

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized<br>Shares<br><i>Number of Shares</i> | Total Issued<br>and<br>Outstanding<br><i>Num of<br/>Shares</i> |
|----------------|-----------------|---------------------|-------------------------------------------------------|----------------------------------------------------------------|
| CNP            |                 | \$0.0000            | 10,000.00                                             | 1000                                                           |

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 15 Day of February, 2013 at 11:10:53 AM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By THOMAS J. MEYER  
Signature of Authorized Representative of the Corporation

SECRETARY  
Title

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

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