

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS Office of the Secretary of State

Matthew A. Brown, Secretary of State

FOR SECRETARY OF STATE USE ONLY

Corporations Division 100 North Main Street Providence, RI 02903-1335 401.222.3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR _____

2005 Filing Period: January 1 · March 1 • Filing Fee: \$50.00 (FORM MUST BE TYPED OR PRINTED IN BLACK) 1. Corporate ID No. 2. Name of Corporation 43602 Pacific Select Distributors, Inc. 3. Street Address Principal Business Office 700 NEWPORT CENTER DRIVE NEWPORT BEACH CA 92660 5. State of Incorporation 6. SIC Code (949) 219-4086 **CALIFORNIA** 7. Brief Description of the Character of Business Conducted in Rhode Island MUTUAL FUND BROKER/ DEALER 8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS President Name Vice President Name JOHN L. DIXON R. LEE WIRTHLIN Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State NEWPORT BEACH 92660 NEWPORT BEACH CA 92660 Secretary Name Treasurer Name AUDREY L. MILFS BRIAN D. KLEMENS Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State NEWPORT BEACH CA92660 NEWPORT BEACH CA 92660 9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS Director Name Director Name JOHN L. DIXON ADRIAN S. GRIGGS Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State State NEWPORT BEACH 92660 CA NEWPORT CA 92660 Director Name Director Name THOMAS H. OLIVER GERALD W. ROBINSON Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State State NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) AUTHORIZED SHARES ISSUED SHARES Number of Shares Class/Series Par Value Number of Shares Class/Series Par Value 25,000 COMM NO PAR VALUE 1,000 COMMON This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct. 1-31-05 01/25/05

Signature of Officer

Title of Officer

Print or Type Name of Officer SECRETARY

AUDREY L. MILFS

Form 630 Rev. 12/03

Date



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS Office of the Secretary of State

Matthew A. Brown, Secretary of State

Corporations Division 100 North Main Street Providence, RI 02903-1335 401.222.3040

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Filing Period: January 1 - March 1 Filing Fee: \$50.00 (FORM MUST BE TYPED OR PRINTED IN BLACK) 1. Corporate ID No 2. Name of Corporation 43602 Pacific Select Distributors, Inc. 3. Street Address Principal Business Office State City 700 NEWPORT CENTER DRIVE NEWPORT BEACH CA 92660 4. Business Phone No. 5. State of Incorporation 6. SIC Code (949) 219-4086 **CALIFORNIA** 7. Brief Description of the Character of Business Conducted in Rhode Island MUTUAL FUND BROKER/ DEALER 8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS President Name Vice President Name JOHN L. DIXON R. LEE WIRTHLIN Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE ZipState ZibNEWPORT BEACH 92660 CA NEWPORT BEACH CA 92660 Secretary Name Freasurer Name AUDREY L. MILFS BRIAN D. KLEMENS Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State State NEWPORT BEACH CA92660 NEWPORT BEACH CA 92660 9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS Director Name Director Name EDWARD R. BYRD JOHN L. DIXON Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State Żip ZipNEWPORT BEACH NEWPORT BEACH 92660 Director Name Director Name THOMAS H. OLIVER GERALD W. ROBINSON Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE State Z_{iD} City State Zip NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) **AUTHORIZED SHARES** ISSUED SHARES Number of Shares Class/Series Par Value Number of Shares Class/Series Par Value 25,000 COMM NO PAR VALUE 1,000 COMMON This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee Under penalty of perjury, I declare and affirm that I have examined this report. including any accompanying schedules and statements, and that all statements contained herein are true and correct. File Date 02/02/2004 Date Check No. AUDREY L. MILFS Print or Type Name of Officer SECRETARY FOR SECRETARY OF STATE USE ONLY

Title of Officer

Edward S. Inman, III, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335

401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR

riling Perioa: Jan	uary 1-march 1 • Filing Fee: \$50.00	
(FORM MUST BE TYPED OR	PRINTED IN BLACK)	
1. Corporate ID No.	2. Name of Corporation	
43602	Pacific Select Distributors, Inc.	

3. Street Address Principal Business Office

Pacific Select Distributors, Inc.

700 NEWPORT CENTER DRIVE

5. State of Incorporation

NEWPORT BEACH

CA

State

State

CA

CA

CA

92660

0

CALIFORNIA

6. SIC Code

7. Brief Description of the Character of Business Conducted in Rhode Island

MUTUAL FUND BROKER/DEALER B. NAMES AND ADDRESSES OF THE O		N SPACES BEFORE USING ATTACHMENT
resident Name	Vice President Na	me
JOHN L. DIXON	JOHN W	. POFF

JOHN L. DIXON Street Address

4. Business Phone No.

700 NEWPORT CENTER DRIVE

NEWPORT BEACH CA 92660

AUDREY L. MILFS

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

CA92660

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

NEWPORT BEACH

JOHN L. DIXON

NEWPORT BEACH

GERALD W. ROBINSON

Zip92660

Treasurer Name

BRIAN D. KLEMENS

Street Address

Street Address

Director Name

Street Address

City

City

700 NEWPORT CENTER DRIVE

State

700 NEWPORT CENTER DRIVE

Zip92660

Zip

Zip

92660

9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

Director Name

EDWARD R. BYRD

Street Address

Secretary Name

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

92660 CA

Director Name

THOMAS H. OLIVER

25,000 COMM NO PAR VALUE

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH CA 92660 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT)

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

700 NEWPORT CENTER DRIVE State

NEWPORT BEACH CA

11. SHARES ISSUED ("X" BOX FOR ATTACHMENT)

ISSUED SHARES

Number of Shares

Class/Series

Par Value

92660

1,000

COMMON

Date

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct

audres L.	mille
ignature of Office	0

AUDREY L. MILFS Print or Type Name of Officer

SECRETARY

Title of Officer **4** 5 5

Form 630 12/02

1/27/2003



Edward S. Inman, III, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR

riting Periou: Junuary 1-March 1	•	Filing Fee: \$50.00
(202141414112222222222222222222222222222		

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No.

2. Name of Corporation

43602

Pacific Select Distributors, Inc.

3. Street Address Principal Business Office

City

State

700 NEWPORT CENTER DRIVE

92660

4. Business Phone No.

5. State of Incorporation

CA

CALIFORNIA

6. SIC Code

7. Brief Description of the Character of Business Conducted in Rhode Island

MUTUAL FUND BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT)

FILL IN SPACES BEFORE USING ATTACHMENTS

NEWPORT BEACH

JOHN L. DIXON

JOHN W. POFF

Street Address

700 NEWPORT CENTER DRIVE

City

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

NEWPORT BEACH

CA

92660

Secretary Name

AUDREY L. MILFS

Street Address

700 NEWPORT CENTER DRIVE

92660

BRIAN D. KLEMENS Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

CA

CA

92660

NEWPORT BEACH

JOHN L. DIXON

92660

9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT)

FILL IN SPACES BEFORE USING ATTACHMENTS

EDWARD R. BYRD

Street Address

700 NEWPORT CENTER DRIVE

Zip

700 NEWPORT CENTER DRIVE

CA

92660

NEWPORT BEACH Director Name

CA

92660

NEWPORT BEACH Director Name THOMAS H. OLIVER

GERALD W. ROBINSON Street Address

700 NEWPORT CENTER DRIVE

700 NEWPORT CENTER DRIVE

State

NEWPORT BEACH

NEWPORT BEACH 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT)

CA

92660

10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) AUTHORIZED SHARES

Number of Shares

ISSUED SHARES Number of Shares

Class/Series

25,000 COMM NO PAR VALUE

1,000

COMMON

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



Class/Series

1/23/2002

JAN 29 2002

FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Officer AUDREY L. MILES

Print or Type Name of Officer SECRETARY Title of Officer

Form 630 12/01

€ 5

Corporations Division 100 North Main Street, Providence, RI 02903-1335

401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2001 Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

43602	Pacific Se	lect Distributo	rs, Inc.		
3. Street Address Principal Business O	ffice		City	State	Zip
700 NEWPORT CENTER 4. Business Phone No.	DRIVE	5. State of Incorporation CALIFORNIA	NEWPORT BE	ACH CA	92660 6. SIC Code
7. Brief Description of the Character o	f Business Conducted in R.	hode Island			
MUTUAL FUND BROKER 8. NAMES AND ADDRESSI President Name		ERS ("X" BOX FOR ATTACH	MENT) FILL IN SPA Vice President Name	ACES BEFORE USING ATTACH	IMENTS
JOHN L. DIXON Street Address			EDWARD I	R. BYRD	
700 NEWPORT CENTER		-		ORT CENTER DRIVE	
NEWPORT BEACH	State CA	^{Zip} 92660	City NEWPORT	BEACH CA	^{zip} 92660
Secretary Name			Treasurer Name		
AUDREY L. MILFS			BRIAN D. Street Address	KLEMENS	
700 NEWPORT CENTER				PORT CENTER DRIVE	
newport beach	State CA	92660	City NEWPORT	BEACH CA	92660
D. NAMES AND ADDRESSE Director Name	S OF THE DIRECT	ORS ("X" BOX FOR ATTAC	CHMENT) FILL IN S Director Name	PACES BEFORE USING ATTAC	CHMENTS
EDWARD R. BYRD			JOHN L.	DIXON	
700 NEWPORT CENTER				ORT CENTER DRIVE	
NEWPORT BEACH	State CA	^{Zip} 92660	City NEWPORT	BEACH CA	^{Zip} 92660
rirector Name THOMAS H. OLIVER			Director Name GERALD W	. ROBINSON	·
treet Address 700 NEWPORT CENTER	DRIVE		Street Address 700 NEWF	ORT CENTER DRIVE	
ity NEWPORT BEACH	State CA	^{Zip} 92660	City NEWPORT	BEACH CA	^{Zip} 92660
O. SHARES AUTHORIZED (UTHORIZED SHARES	("X" BOX FOR ATTACH	MENT)	11. SHARES ISSU	ED ("X" BOX FOR ATTACHMENT)	
umber of Shares	Class/Series	Par Value	Number of Shares	Class/Series	Par Value

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



COMMON

25,000

Check No .: . FOR SECRETARY OF STATE USE ONLY Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

COMMON

Date

AUDREY L. MILFS, SECRETARY

Print or Type Name of Officer

Title of Officer

1,000

2/12/01



James R. Langevin, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-222-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2000 Filing Period: January 1-March 1 • Filing Fee: \$50.00



(FORM MUST BE TYPED IN BLACK) 1. Corporate ID No. 2. Name of Corporation 43602 Pacific Mutual Distributors, Inc. 3. Street Address Principal Business Office City 700 NEWPORT CENTER DRIVE NEWPORT BEACH CA 92660 4. Business Phone No. 5. State of Incorporation 6. SIC Code CALIFORNIA 7. Brief Description of the Character of Business Conducted in Rhode Island MUTUAL FUND BROKER/DEALER 8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS President Name Vice President Name JOHN L. DIXON JOHN W. POFF Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE City NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 Secretary Name AUDREY L. MILFS EDWARD R. BYRD Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE City NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS Director Name Director Name GERALD W. ROBINSON JOHN L. DIXON Street Address 700 NEWPORT_CENTER DRIVE 700 NEWPORT CENTER DRIVE State NEWPORT BEACH CA 92660 NEWPORT BEACH 92660 Director Name Director Name EDWARD R. BYRD PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH 92660 NEWPORT BEACH CA 92660 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) AUTHORIZED SHARES ISSUED SHARES Number of Shares Class/Series Number of Shares Class/Series Par Value 25,000 COMMON 1,000

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



FOR SECRETARY OF STATE USE ONLY

that all statements contained herein are true and correct. 2/02/2000 Signature of Officer AUDREY L. MILFS Print or Type Name of Officer **SECRETARY**

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and





James R. Langevin, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-222-3046

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1999 Filing Period: January 1-March 1 • Filing Fee: \$50.00

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	orporate ID No.	2. Name of Corporal			
	43602	Pacific Mutu	al Distributors, Inc.		
3. 51	reet Address Principal Business			City State	Zip
4. Bı	700 NEWPORT CE usiness Phone No.	NTER DRIVE	5. State of Incorporation	NEWPORT BEACH CA	92660
7. Br	(949) 640-3116 ief Description of the Character	of Business Conducted in	CALIFORNIA Rhode Island		6. SIC Code
	MUTUAL FUND BR				
8. N	NAMES AND ADDRESS	SES OF THE OFFI	CERS ("X" BOX FOR ATTA	CHMENT) FILL IN SPACES BEFORE USING ATTAC	HMENTS
	JOHN L. DIXON			Vice President Name	The state of the s
Street	Address			JOSEPH P. RUIZ Street Address	
	700 NEWPORT CEI	A contract of the contract of		700 NEWPORT CENTER DRIVE	
City		State	Zip	City State	Zip
Secret	NEWPORT BEACH ary Name	CA	92660	NEWPORT BEACH CA Treasurer Name	92660
Street	AUDREY L. MILFS	5		EDWARD R. BYRD Street Address	
	700 NEUDODE CEN	TER DRIVE			
	TOO NEWPORT CEN	ATDIC DICTAD		700 NEWPORT CENTED NOTAGE	
City	700 NEWPORT CEN	State	Zip	700 NEWPORT CENTER DRIVE	7:-
	NEWPORT BEACH	State CA	92660	City State NEWPORT REACH CA	Zip 02660
	NEWPORT BEACH	State CA	92660	City State NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTA	02660
9. N Direct	NEWPORT BEACH	CA ES OF THE DIREC	92660	City State NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAC Director Name JOHN L. DIXON	02660
9. N Direct	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN	State CA ES OF THE DIRECT USON UTER DRIVE	92660 CTORS ("X" BOX FOR ATT	City State NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAC Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE	02660
9. N Direct	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN	CA ES OF THE DIRECT USON UTER DRIVE State	92660 C TORS ("X" BOX FOR ATT Zip	City State NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAC Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State	02660
9. N Direct	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address	State CA ES OF THE DIRECT USON UTER DRIVE	92660 CTORS ("X" BOX FOR ATT	City State NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAC Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE	92660 CHMENTS
9. N Direct Street City Directo	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH r Name EDWARD R. BYRD	CA ES OF THE DIRECT USON UTER DRIVE State	92660 C TORS ("X" BOX FOR ATT Zip	NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAC Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH	92660 CHMENTS
9. N Direct Street City Directo	NEWPORT BEACH AMES AND ADDRESS OF Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH OF Name EDWARD R. BYRD	State CA ES OF THE DIRECT USON UTER DRIVE State CA	92660 C TORS ("X" BOX FOR ATT Zip	NEWPORT BEACH CA ACHMENT) FILL IN SPACES BEFORE USING ATTAI Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH Street Address	92660 CHMENTS
9. N Direct Street City Directo	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH r Name EDWARD R. BYRD	State CA ES OF THE DIRECT USON UTER DRIVE State CA	92660 C TORS ("X" BOX FOR ATT Zip	NEWPORT BEACH CA ACHMENT) FILLIN SPACES BEFORE USING ATTAI Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE	92660 CHMENTS Zip 92660
9. N Director Street City Director Street	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH r Name EDWARD R. BYRD Iddress 700 NEWPORT CEN NEWPORT BEACH	CA ES OF THE DIRECT USON UTER DRIVE State CA TER DRIVE State CA	92660 CTORS ("X" BOX FOR ATT Zip 92660 Zip 92660	NEWPORT BEACH CA ACHMENT) FILLIN SPACES BEFORE USING ATTAI Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE City State	92660 CHMENTS Zip 92660
9. N Direct Street City Direct Street City 10. Si	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH or Name EDWARD R. BYRD Address 700 NEWPORT CEN	CA ES OF THE DIRECT USON UTER DRIVE State CA TER DRIVE State CA	92660 CTORS ("X" BOX FOR ATT Zip 92660 Zip 92660	NEWPORT BEACH CA ACHMENT) FILLIN SPACES BEFORE USING ATTAI Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT)	92660 CHMENTS Zip 92660
9. N Direct Street City Direct Street ACity AUTHOL	NEWPORT BEACH AMES AND ADDRESS or Name GERALD W. ROBIN Address 700 NEWPORT CEN NEWPORT BEACH or Name EDWARD R. BYRD Address 700 NEWPORT CEN NEWPORT BEACH NEWPORT BEACH NEWPORT BEACH HARES AUTHORIZED	CA ES OF THE DIRECT USON UTER DRIVE State CA TER DRIVE State CA	92660 CTORS ("X" BOX FOR ATT Zip 92660 Zip 92660	NEWPORT BEACH CA ACHMENT) FILLIN SPACES BEFORE USING ATTAI Director Name JOHN L. DIXON Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA Director Name PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA DIRECTOR Name PHILIP N. GAINSBOROUGH Street Address 700 NEWPORT CENTER DRIVE City State NEWPORT BEACH CA	92660 CHMENTS Zip 92660

ecretary, Assistant Secretary, Treasurer, Receiver or Trustee

	* 4 3 6 0 2 *
File Date:	leb 16,99
Check No.:	BA386978
Ву:	20. m
OR SECRETARY	OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

2/02/99

Date

gnature of Officer X AUDREY L. MILFS

Print or Type Name of Officer

SECRETARY

Title of Officer



James R. Langevin, Secretary of State Corporations Division 100 North Main Street, Providence, RI 02903-1335 401-277-3040

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1998 Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK) 1. Corporate ID No. 2. Name of Corporation

Pacific Mutual Distributors, Inc. 3. Street Address Principal Business Office City State Zip 700 NEWPORT CENTER DRIVE NEWPORT BEACH 4. Business Phone No. CA 92660 5. State of Incorporation (714) 640-3116
7. Brief Description of the Character of Business Conducted in Rhode Island **CALIFORNIA**

43602

MUTUAL FUND BROKER/DEALER 8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT)

President Name Vice President Name GERALD W. ROBINSON JOSEPH P. RUIZ Street Address 700 NEWPORT CENTER DRIVE

700 NEWPORT CENTER DRIVE City City NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 Secretary Name Treasurer Name AUDREY L. MILFS EDWARD R. BYRD

Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE City State

NEWPORT BEACH CA 92660 NEWPORT BEACH CA92660

9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT) Director Name Director Name

GERALD W. ROBINSON GLENN S. SCHAFER Street Address Street Address 700 NEWPORT CENTER DRIVE 700 NEWPORT CENTER DRIVE

Zip NEWPORT BEACH CA 92660 NEWPORT BEACH CA 92660 Director Name Director Name THOMAS C. SUTTON

Street Address 700 NEWPORT CENTER DRIVE

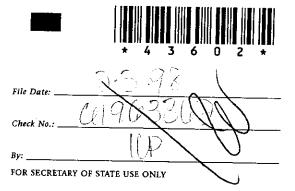
ZipCity State Zip NEWPORT BEACH

92660 10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) 11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) AUTHORIZED SHARES ISSUED SHARES Number of Shares Class/Series Par Value

Number of Shares Class/Series Pat Value

25,000 Common 1,000 . Common

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and

that all statements contained herein are true and correct. 1/29/98 Date

<u>AUDREY L. MILFS, SECRETARY</u> Print or Type Name of Officer

Title of Officer

Office of the Secretary of State

Corporations Division 100 North Main Street, Providence, RI 02903-1335

401-277-3040

PROFIT CORPORATION ANNUAL REPORT 1997

iling	Perioa:	January	1–March	1	•	Filing	Fee:	\$50.00	

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No.

2. Name of Corporation

43602

Pacific Mutual Distributors, Inc.

3. Street Address Principal Business Office 700 NEWPORT CENTER DRIVE

MARC S. FRANKLIN

700 NEWPORT CENTER DRIVE

State

Zip

4. Business Phone No.

5. State of Incorporation

NEWPORT BEACH

CA

92660 6. SIC Code

(714) 640-3116

CALIFORNIA

7. Brief Description of the Character of Business Conducted in Rhode Island

MUTUAL FUND BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT)

President Name

GERALD W. ROBINSON

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH,

92660

Secretary Name

AUDREY L. MILFS

Street Address 700 NEWPORT CENTER DRIVE

NEWPORT BEACH

Street Address

Director Name

NONE

Street Address

Vice President Name

Street Address

NEWPORT BEACH

GLENN S. SCHAFER

NEWPORT BEACH

700 NEWPORT CENTER DRIVE

NEWPORT BEACH,

EDWARD R. BYRD

700 NEWPORT CENTER DRIVE

CA

CA

CA

92660

92660

92660

9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT)

Director Name

GERALD W. ROBINSON

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

Director Name

THOMAS C. SUTTON

Street Address

700 NEWPORT CENTER DRIVE

NEWPORT BEACH

CA

Zip

92660

92660

State

10. SHARES AUTHORIZED AND ISSUED ("X" BOX FOR ATTACHMENT) AUTHORIZED SHARES ISSUED SHARES

Number of Shares

25,000

Class/Series COMMON Par Value

Number of Shares 1,000

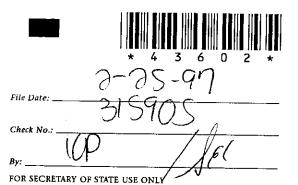
Class/Series

COMMON

Par Value

2/25/97

This report must be signed in ink by either the President, Vice President, Secretary, Assistant Secretary, Treasurer, Receiver or Trustee



Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct

Signature of Officer

AUDREY L. MILFS Print or Type Name of Officer

SECRETARY Title of Officer

Form 31 12/96

PROFIT CORPORATION ANNUAL REPORT

1996



State of Rhode Island and Providence Plantations James R. Langevin, Secretary of State

Corporations Division 100 North Main Street Providence, Rhode Island 02903-1335 • (401) 277-3040

:	
Filing Period: January 1-March 1	
Filing Fee: \$50.00	
	PLEASE TYPE OR PRINT IN BLACK IF

1. CORPORATE ID NO.	2. NAME OF CORPORATION	PLEASE TYPE UP	PHINT IN BLACK INK.	والمحاور والمراجع المحارض والمحارض المحاور المحاور والمحاور والمحاور والمحاور والمحاور والمحاور والمحاور والمحاور	The transfer of the second
43602	PACIF	IC EQUITIES NET	WORK *****BUSINES	S IN R.I. TO	
3. STREET ADDRESS PRINCIPAL BUSINESS OF	FFICE	- commence of the commence of	CITY	STATE	ZIP CODE
700 NEWPORT CE	NTER DRIVE	5. STATE OF INCORPORATION	NEWPORT BEACH	CA	92660 6. SIC CODE
(714) 640-3116		CALIFOR			5. dio 355E
7. BRIEF DESCRIPTION OF THE CHARACTER OF	BUSINESS CONDUCTED IN RHODI	ISLAND	Producer for each of the control of	ي يادرين يوادري المدين السيار ومواد المداد ومصاحبات	The second secon
MUTUAL FUND BR	OKER/DEALER				
GERALD W. ROBII		MES AND ADDE	VICE PRESIDENT NAME	FFICERS	
STREET ADDRESS 700 NEWPORT CEI		The second secon	STREET ADDRESS	na anananan <mark>ngangka kanadan k</mark> alan an a	en e
NEWPORT BEACH	CA	ZIP CODE 92660	CITY	:	ZIP CODE
SECRETARY NAME AUDREY L. MILFS STREET ADDRESS			TREASURER NAME EDWARD R. 1		tita ali la ritra di talbandera de tabbé aprila.
700 NEWPORT CEN	NTER DRIVE	di an ingana managana ka kanggana ka asawa ka		CENTER DRIVE	A CONTRACTOR OF THE STATE OF TH
NEWPORT BEACH	CA	ZIP CODE 92660	NEWPORT BEA		ZIP CODE 92660
DIRECTOR NAME	9. NA	MES AND ADDR	ESSES OF THE DI	RECTORS	
GERALD W. ROBIN	ISON		DIRECTOR NAME GLENN S. SO	CHAFER	W. W
street address 700 NEWPORT CEN	TER DRIVE		STREET ADDRESS 700 NEWPORT	CENTER DRIVE	established comment and the first and indicated an extraction of the engineer that the A. decrease and the second
NEWPORT BEACH		ZIP CODE 92660	COTY NEWPORT BEA	STATE CA	ZIP CODE 92660
DIRECTOR NAME THOMAS C. SUTTO			DIRECTOR NAME	enterpolitica poblika i necessari i presidente de esta p	iy dadaan ing agaa wary galabana galaba da babana a
THORAGO C. SOTTO STREET ADDRESS 700 NEWPORT CEN	THE CO. V.	To the second se	STREET ADDRESS	eminente de la companya de la compa	ratio campa and a complete in which the hard the determinant and making in the light in the light in the light.
NEWPORT BEACH	STATE CA	ZIP CODE 92660	CITY	STATE	, ZIP CODE
		HARES AUTHOR		ISSUED SHARES	
NUMBER OF SHARES	CLASS / SERIES	PAR VALUE	NUMBER OF SHARES	CLASS / SERIES	PAR VALUE
25,000	COMMON	ويوس ورومها والمعادمة	1,000	COMMON	
	A CONTRACTOR ASSESSMENT ASSESSMEN	The second se	1		and determined on a payone decrease and an appropriate space of the second space of th
The second secon	This	report must be SIG	NED IN INK by either th		in the second se
Presid	dent, Vice Preside	ent, Secretary, Assist	ant Secretary, Treasurer,	Receiver or Trustee	

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

File Date: 3/4/96
Check No: 613/014

By:

61310169

For Secretary of State Use Only

AUDREY L. MILFS
Print or Type Name of Officer

____SECRETARY
Title of Officer

Signature of Officer

2/26/96 Date

State of Rhode Island and Providence Plantations Office of The Secretary of State 100 North Main Street Providence, Rhode Island 02903-1335 401-277-3040

0003602

ANNUAL REPORT

Please Type or Print File Annually - Jan. 1 - March 1 Filing Fee \$50.00

Make Checks Payable to: Secretary of State

ALL ENTRIES MUST BE COMPLETED IN FULL OR THE FORM WILL BE RETURNED.

Cor	porate ID:	0/3502		.		Annual Rep	ort for the yea	ır:	1995		
Nan	ne of Corporation:	PACIF	C E	QUITIES	NETH		-		I R.1. TO		
Busin	ness entity organized oreign entity, address 700 Newport	under the laws of the So s and telephone number Center Drive ch, CA 92660	of princi	pal office:		Business [X] Bus	Entity is (chec	k one): ion (See RI	GL Chapter 7-1.1) hapter 7-5.1)
Addr	ess and telephone of d (Provide street addi	the principal office of boress - Not P.O. Box): ster Street, S RI 02903	ısiness e	ntity in Rhode		Brief stat	ement of the chement	naracter of t Fund B	ousiness conducte	d in Rhode l	Island:
Phone	e: <u>(</u>)										
PRESID			T	HE NAMES	S OF TI	HE OFFICE	RS ARE:				
	Gerald W. Ro	obinson		Newport_	Cent e	r Drive	Newport		CA	92660	ZIP CODE
SECRET	Marc S. Fran	nklin	700	Newport	TREET ADD	r Drive	Newport	-	CA	92660	ZIP CODE
TREASU	Audrey L. Mi	ilfs	700	Newport		r Drive	Newport		CA	92660	ZIP CODE
	Edward R. By	rd		Newport	Cente	r Drive	Newport	Beach,		92660	ZIP CODE
NAME			TF	IE NAMES	OF TH	E DIRECTO	RS ARE:	CITY/STATE			
NAME	Gerald W. Ro	binson ————————	700	Newport ~			Newport	Beach,	CA	92660	ZIP CODE
NAME	Glenn S. Sch	nafer	700	Newport		r Drive	Newport		CA	92660	ZIP CODE
	Thomas C. Su	itton	700	Newport	Cent e	r Drove	Newport	Beach,		92660	ZIP CODE
NUMB	ER OF SHARES AU	THORIZED (Rider may b	e attache	d)		NUMBER OF	SHARES ISSUE	D AND OU	TSTANDING (Rid	er may be atta	iched)
	er of Shares	Class / Series				Number of Sh		Class / S			
	25,000	Common				1,000)	Commo	on		
Date _	February 9,	, 19_	95	_ By		a	Lelry Z Aud yey L	(, m.)	elfs		
Form 31	1/95			TIT	LE OF OFFI	CER SIGNING	R Betretar	<u>-</u>	<i>-</i>		
DIEVE	E NOTE, If the	DESIGNAT	FED R	EGISTERE	D AGE	NT FOR SEF	RVICE OF P	ROCESS:			
TLEMO	E NOIE. II the regi	stered office and/or reg	istered a	igent indicated	l below is	incorrect For	m 0 muct be fil	ad			

PRENTICE-HALL CORP SYSTEM 170 WESTMINSTER STREET, SUITE 900 PROVIDENCE RI 02905

Ch# 060 983964

Filing Fee \$50.00 Payable to: Secretary of State

0045602

PLEASE TYPE or PRINT

File Annually LLC: Sept. 1 - Nov. 1 CORP: Jan. 1 - March 1

1

1994

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

100 North Main Street Providence, Rhode Island 02903-1335 401-277-3040

Corporate ID:			Annual Report		
Name of Business Entity:		<u></u>	PACIFIC	EQUITIES NETWORK ****	**BUSINESS
Business entity organized under the law Federal Taxpayer Identification Number For foreign entity, address and telephon	r:	DRNIA	[X] []	tity is (check one): Business Corporation (See RIGL Chapter ' Professional Service Corporation (See RIGL 7-1 Limited Liability Company (See RIGL 7-1	GL Chapter 7-5.1)
700 Newport Center Dr Newport Beach, CA 926	rive		Name, title a	and mailing address of contact person to white standards and the directed: G. Longyear	
Phone: (714 640-3116	-			700 Newport Center Drive Newport Beach, CA 92660	
Address and telephone of the principal o Island (Provide street address - Not P.O. 170 Westminster Stree	Box):	ide	Brief stateme	ent of the character of business conducted in	in Rhode Island:
Providence, RI 02903					
			Date of Orga	nization: 7/11/69	
Phone: ()			Date of Qual	ification to do business in Rhode Island (if 5/15/87	foreign entity):
	THE NAM	ES OF TH	E OFFICERS	ARE:	
文 CHIEF EXECUTIVE OFFICER OR 文 PRESIDE Glenn S. Schafer 口 CHIEF OPERATING OFFICER OR 및 VICE PR	NT (Check One) 700 Newmort	STREET ADDR	ess Drive	CHYSTATE Newport Beach, CA CHYSTATE	ZIP CODE 92660
Marc S. Franklin	700 Newport	Center I	Drive	Newport Beach, CA	92660
□ CUSTODIAN OF RECORDS OR TX SECRETAR Audrey L. Milfs TX CHIEF FINANCIAL OFFICER OR TX TREASUR	700 Newport	STREET ADDR Center I	Drive	CITY/STATE Newport Beach, CA CITY/STATE	7:P CODE 92660 ZIP CODE
Glenn S. Schafer	700 Newport			Newport Beach, CA	92660
NAME	THE NAME	S OF THE STREET ADDR	DIRECTORS ESS	ARE:	ZIP CODE
William D. Cvengros	700 Newport	Center D		Newport Beach, CA	92660 ZIP CODE
Glenn S. Schafer	700 Newport (Center D		Newport Beach, CA	92660
Thomas C. Sutton	700 Newport (Newport Beach, CA	21P CODE 92660
NUMBER OF SHARES AUTHORIZE	O (If Applicable)		NUMBER OF SH	HARES ISSUED AND OUTSTANDING	(If Applicable)
NUMBER 25,000			NUMBER	1,000	
CLASS Common			CLASS	Common	
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AR VALUE OR VITHOUT PAR			PAR VALUE OR WITHOUT PAR		
ate February 2	94	Ву:	andre	y L. Wills	
Part Company		PRINT OR TYPE	NAME OF OFFICER SIC) Audrey L. Milfs	
EEE on big	:	TITLE OF OFFIC	ED CICAUNC	Secretary	
m 31 1/94 By LOM. 606	03/4	LL OF OFFIC	en signing		
rm 31 1/94	/				

State of Rhode Island and Frovidence Flantations CORPORATIONS DIVISION 100 NORTH MAIN STREET PROVIDENCE, RHODE ISLAND 02903

Corporate ID 0043602	Annual Report for the year 1993.
FIRST: The name of the corporation is	
SECOND: It is incorporated under the laws of	fCALIFORNIA
THIRD: Character of business, briefly stated,	isMutual Fund Broker/Dealer
FOURTH: If foreign corporation, address of it	ts principal office 700 Newport Center Drive
	Newport Beach, CA 92660
FIFTH: Business address in Rhode Island	170 Westminster Street, Suite 900
	Providence, RI 02903
Sixth: Names and addresses of its directors a	(Truch fider if necessary)
Arthur M. Kesselhaut Director	700 Newport Center Dr., Newport Beach, CA 92660
Slenn S. Schafer Director	700 Newport Center Dr., Newport Beach, CA 92660
Thomas C. Sutton Director	700 Newport Center Dr., Newport Beach, CA 92660
rthur M. Kesselhaut President	700 Newport Center Dr., Newport Beach, CA 92660
	sident
udrey L. Milfs Secretary	700 Newport Center Dr., Newport Beach, CA 92660
1enn S. Schafer Treasurer	700 Newport Center Dr., Newport Beach, CA 92660
SEVENTH: Number of Shares authorized: No. of Shares Class	Par Value or statement that shares are without Series
25,000 Common	par value - \$1.00
Eіднтн: Number of Shares issued:	Rec'd & Filed FEB 1 5 1993 Par Value or statement that shares are without
No. of Shares Class 1,000 Common	Series (par value - \$1.00
,	41.00
ited February 9, 19 93	PACIFIC EQUITIES NETWORK (Name of Corporation)
	By Cudry L. Mils
(Report must be signed by an officer)	Title Audrey L. Milfs, Secretary

State of Rhode Island and Frovidence Flantations CORPORATIONS DIVISION 100 NORTH MAIN STREET PROVIDENCE, RHODE ISLAND 02903

Corporate ID00	043602	Annual Report for th	e year ¹⁹⁹²
First: The name of	of the corporation is	PACIFIC EQUITIES NETW	ORK
SECOND: It is income	rporated under the laws of	CALIFORNIA	
THIRD: Character	of business, briefly stated, is	Mutual Fund Broker/De	aler
Fourth: If foreign	corporation, address of its pr	incipal office 700 Newport	Center Drive
		Newport Bead	ch, CA 92660
FIFTH: Business add	dress in Rhode Island	170 Westmins	ster Street, Suite 900
		Providence,	RI 02903
SIXTH: Names and	addresses of its directors and		(Attach rider if necessary) umber, street, zip code)
Arthur M. Kesselh	aut Director	700 Newport Center Dr.	, Newport Beach, CA 92660
Glenn S. Schafer	Director	700 Newport Center Dr.	, Newport Beach, CA 92660
Thomas C. Sutton	Director	700 Newport Center Dr.	, Newport Beach, CA 92660
Arthur M. Kesselha	aut President		, Newport Beach, CA 92660
Richard J. Meehan	Vice Preside	nt 700 Newport Center Dr.	, Newport Beach, CA 92660
Audrey L. Milfs	Secretary	700 Newport Center Dr.	, Newport Beach, CA 92660
Glenn S. Schafer	Treasurer	700 Newport Center Dr.	, Newport Beach, CA 92660
Marilee Roller Seventh: Number			Dr., Newport Beach, CA 9266 Par Value or statement that
No. of Shares	Class	Series	shares are without par value
25,000	Common	-	\$1.00
Eighth: Number of	Shares issued:		Par Value or statement that
No. of Shares	Class	Series	shares are without par value
1,000	Common	-	\$1.00
Dated February 6	, 1992 19	PACIFIC EQUITIES NETWO	RK
	·	ame of Corporation) Marilu Roller	
	•		
(Report must be sig	gned by an officer) Ti	tle Marilee Koller, Assis	stant Secretary/Treasurer

State of Rhode Island and Frovidence Flantations CORPORATIONS DIVISION 270 WESTMINSTER MALL PROVIDENCE, RHODE ISLAND 02903

	0043602		
First: The name	e of the corporation isPACII	FIC EQUITIES NETWORK	
Second: It is inc	orporated under the laws of	CALIFORNIA	•••••••••••••••••••••••••••••••••••••••
Third: Characte		Mutual Fund Broker/Dealer	
Fourth: If foreig		incipal office.700 Newport.Center.Dri	٠.
		Newport Beach, CA 9266	0
FIFTH: Business a	ddress in Rhode Island	170 Westminster Street	, Suite 900
•••••••••••••••••••••••••••••••••••••••	••••••	Providence, RI 02903	
SIXTH: Names an	d addresses of its directors and	officers: (Atta	ach rider if necessar
(LIST ATTA	CHED) Director		**************************
••••••	Director		***************************************
••••••	Director		***************************************
***************************************	President		******************************
 	Vice Preside	nt	••••
	Secretary		
	Treasurer		*******************************
SEVENTH: Numbe	r of Shares authorized:		ar Value
No. of Shares	Class	Series Spries p	are without ar value
25,000	Common	SECN EN ID	\$1.00
Eighth: Number	of Shares issued:	~ ~ ~	ar Value tement that
No. of Shares	Class	C!	are without
1,000	Common	- ·	\$1.00
ted Febru	ary 11 19 .91 (N	PACIFIC EQUITIES NETWORK ame of Corporation) MAYA ILL RALLY	
	Ву	, Marilee Roller, Assistant Secr	etary/Treasu
(Renort must be		tle	
31 1/85	on the state of th		*************************

PACIFIC EQUITIES NETWORK SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS CALENDAR YEAR 1990 FEDERAL E.I.N. 95-2594489

Arthur M. Kesselhaut	President & CEO, Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Richard J. Meehan	Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Diane N. Ledger	Assistant Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Linda C. Wessels	Assistant Vice President	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Audrey L. Milfs	Secretary	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Glenn S. Schafer	Chief Financial Officer, Treasurer, Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Marilee Roller	Assistant Secretary/ Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Thomas C. Sutton	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

State of Rhode Island and Providence Plantations CORPORATIONS DIVISION 100 NORTH MAIN STREET PROVIDENCE, RHODE ISLAND 02903

	PROVIDENCE	RHODE ISLAND 02903	1/1
orporate ID004350		Annual Report for	r the year 1990
FIRST: The name of th	e corporation is	PACIFIC EQUITIES	NETWORK 家事事事事BUSINES
Second: It is incorpor	ated under the laws of	CALIFORNIA	
			ealer
Fourth: If foreign cor	poration, address of its	principal office. 700 Newpor	t Center Drive
		Newport Be	ach, CA 92660
FIFTH: Business address	s in Rhode Island	123 Dyer S	treet
	•••••	Providence	, Rhode Island 02903
SIXTH: Names and add	resses of its directors an		(Attach rider if necessary) ng number, street, zip code)
SCHEDULED	Director		
	Director		
	Director		
	President		
	Vice Presid	lent	
	Secretary		
	Treasurer		
SEVENTH: Number of SI	hares authorized:		Par Value or statement that
No. of Shares	Class	Series	shares are without par value
25,0000	Common		\$1.00
Еіднтн: Number of Sha	res issued:	Series	Par Value or statement that
No. of Shares		Series	shares are without par value
1,000	Common	-	\$1.00
ed February 20	19 ⁹⁰ .	PACIFIC EQUITIES NET	WORK
	,	(Name of Corporation)	0-14
	I	By Curding X. Audrey L. Milfs,	Mulso
(Report must be signed)	by an officer)	Title Audrey L. Milfs,	Secretary

PACIFIC EQUITIES NETWORK SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS CALENDAR YEAR 1989 FEDERAL E.I.N. 95-2594489

Arthur M. Kesselhaut	President & CEO, Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Richard J. Meehan	Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Diane N. Ledger	Assistant Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Linda C. Wessels	Assistant Vice President	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Audrey L. Milfs	Secretary	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Harold T. Joanning	Chief Financial Officer and Treasurer (01/01/89 to 04/30/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Glenn S. Schafer	Chief Financial Officer and Treasurer (05/01/89 to 12/31/89) Director (04/01/89 to 12/31/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
C. Fredric Wagner	Assistant Secretary/ Assistant Treasurer (01/01/89 to 02/28/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

PACIFIC EQUITIES NETWORK
SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS
CALENDAR YEAR 1989
FEDERAL E.I.N. 95-2594489

Marilee Roller	Assistant Secretary/ Assistant Treasurer (04/25/89 to 12/31/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald G. Hilliard	Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Harry G. Bubb	Director (01/01/89 to 04/30/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Bonnie Dailey	Director (05/01/89 to 05/15/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald E. Jordan	Director (01/01/89 to 03/31/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Thomas C. Sutton	Director (05/16/89 to 12/31/89)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

State of Rhode Island and Frovidence Flantations CORPORATIONS DIVISION 100 NORTH MAIN STREET PROVIDENCE, RHODE ISLAND 02903

Corporate ID0043	36.02	Annual Report for the year1989		
FIRST: The name of	the corporation is	PACIFIC	EQUITIES NETWO	RK ******BUSINE
Second: It is incorp	orated under the laws of	of CA	LIFORNIA	
Third: Character of	business, briefly stated,	is Mu	tual Fund Broker/D	ealer
Fourth: If foreign c	corporation, address of i	ts principal office	800 Newport Cente	r Drive
			Newport Beach, CA	92660
FIFTH: Business addr	ess in Rhode Island		123 Dyer Street	
		••••••	Providence, Rhode	Island 02903
SIXTH: Names and a	ddresses of its directors		Address (including number, str	(Attach rider if necessary)
SCHEDULED	Director			
	Director		,	
	Director	***************************************		••••••
	Presiden	t		
	Vice Pre	sident		
	Secretar	y		
	Treasure	r	•••••	
	f Shares authorized:			Par Value or statement that shares are without
No. of Shares 25,000	Class O	Seri	es	par value \$1.00
,	C. E	0		Ψ1.00
EіGнтн: Number of S	Shares issued:	Seri		Par Value or statement that shares are without
No. of Shares	Class	Seri	es	par value
1,000	Common		-	\$1.00
atedFebruary 14	19	PAC	IFIC EQUITIES NETW	ORK
		(Name of Corporation)		•••••••••••••••••••••••••••••••••••••••
		By Ciu	dry L. Mills	<u> </u>
(Report must be sign	ned by an officer)	Title Audrey	L. Milfs, Secretar	у

PACIFIC EQUITIES NETWORK SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS CALENDAR YEAR 1988 FEDERAL E.I.N. 95-2594489

Arthur M. Kesselhaut	Chairman & CEO, Director	700 Newport Center Drive P. O. Box 9000
		Newport Beach, CA 92658
Richard F. Hanly	President, Director (01/01/88 to 04/11/88)	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Richard J. Meehan	Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald W. Clear	Regional Vice President (04/11/88 to 12/31/88)	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
William J. Kuzmich	Regional Vice President (04/11/88 to 12/31/88)	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Diane N. Ledger	Assistant Vice President	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Linda C. Wessels	Assistant Vice President	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Audrey L. Milfs	Secretary, Director (04/11/88 to 06/22/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Harold T. Joanning	Chief Financial Officer and Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
C. Fredric Wagner	Assistant Secretary/ Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald G. Hilliard	Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

PACIFIC EQUITIES NETWORK SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS CALENDAR YEAR 1988 FEDERAL E.I.N. 95-2594489

Thomas W. Brubaker	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Harry G. Bubb	Director (04/11/88 to 12/31/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Edward B. Burr	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
David R. Carmichael	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
William D. Cvengros	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Paul F. Desmond	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald E. Jordan	Director (06/22/88 to 12/31/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Terry L. Nagelvoort	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Thomas C. Sutton	Director (01/01/88 to 04/11/88)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

D/

State of Rhode Island and Frovidence Flantations CORPORATIONS DIVISION 270 WESTMINSTER MALL PROVIDENCE. RHODE ISLAND 02903

43602

1988

Corporate ID. 25, 35044	20.	Annual Report for	or the year	1987 -	
First: The name of	f the corporation is	PACIFIC EQUITIES NETWORK	•••••		
Second: It is incorp	porated under the lav	ws of CALIFORNIA			
THIRD: Character of	f business, briefly sta	ted, is Mutual Fund Bro	oker/Dealer	***************************************	
FOURTH: If foreign	corporation, address	of its principal office800. Newpor	rt Center Dr	ive	
••••••	••••••	Newport Be	each, CA 926	6.0	
FIFTH: Business address in Rhode Island		123 Dyer 3	123 Dyer Street		
***************************************	•••••••••••••••••••••••••••••••••••••••	Providence	e, Rhode Isl	and 02903	
SIXTH: Names and a	addresses of its direct		(At	tach rider if necessar	
SEE ATTACHED	Direc	ctor		••••••	
	Direc	ctor	,	••••••	
<u>-</u>	Direc	ctor	************************************	***************************************	
••••••	Presi	dent	*************************		
	Vice	President	\$444.44 <i>444.</i> 444.444.444.444.444.444.444.	***************************************	
•••••••	Secre	etary	***************************************	******************************	
***************************************	Treas	surer	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	***************************************	
SEVENTH: Number o	f Shares authorized:			Par Vaiue	
No. of Shares	Class	Series	shan	tatement that es are without par value	
25,000	Common	-	,	\$1.00	
		PAID			
EIGHTH: Number of	Shares issued:	111/1/10 1000		Par Value tatement that	
No. of Shares	Class	SEC'Y OF SWATE		shares are without par value	
1,000	Common	-		\$1.00	
ated February 25,	19 ⁸ 8	PACIFIC EQUITIES NETW (Name of Corporation) By			
(Report must be sign	and by an officer)+amy/Tnogauno	

PACIFIC EQUITIES NETWORK SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS CALENDAR YEAR 1987 FEDERAL E.I.N. 95-2594489

Thomas C. Sutton	Chairman and CEO (01/01/87 to 12/10/87)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Arthur M.Kesselhaut	Chairman and CEO (12/10/87 to 12/31/87)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Richard F. Hanly	President, Director	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
George N. Flessas	Vice President, Director (01/01/87 to 05/20/87)	
Allen J. Hoffman	Assistant Vice President (01/01/87 to 03/02/87)	
Diane N. Ledger	Assistant Vice President	
Richard J. Meehan	Vice President (05/20/87 to 12/31/87) Assistant Vice President (01/01/87 to 05/20/87)	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Linda C. Wessels	Assistant Vice President	800 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Audrey L. Milfs	Secretary	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Harold T. Joanning	Chief Financial Officer and Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
C. Fredric Wagner	Assistant Secretary/ Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Donald G. Hilliard	Assistant Treasurer	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658

PACIFIC EQUITIES NETWORK
SCHEDULE - BUSINESS ADDRESSES OF OFFICERS AND DIRECTORS
CALENDAR YEAR 1987
FEDERAL E.I.N. 95-2594489

Thomas W. Brubaker	Director (12/14/87 to 12/31/87)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Edward B. Burr	Director (12/10/87 to 12/31/87)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
David R. Carmichael	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
William D. Cvengros	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Paul F. Desmond	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Terry L. Nagelvoort	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Thomas H. Shilson	Director (01/01/87 to 12/14/87)	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658
Thomas C. Sutton	Director	700 Newport Center Drive P. O. Box 9000 Newport Beach, CA 92658