



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

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2005

Filing Period: January 1 - March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. 100937		2. Name of Corporation NATIONAL PLANNING CORPORATION			
3. Street Address Principal Business Office 401 WILSHIRE BOULEVARD, SUITE 1100		City SANTA MONICA	State CA	Zip 90401	
4. Business Phone No. 8887116721		5. State of Incorporation DELAWARE		6. SIC Code 6064	
7. Brief Description of the Character of Business Conducted in Rhode Island TO OFFER A FULL RANGE OF SECURITY PRODUCTS, STOCKS, BONDS, MUTUAL FUNDS, VARIABLE ANNUITIES AND TO ACT AS A FULL SERVICE BROKER-DEALER.					
8. NAMES AND ADDRESSES OF THE OFFICERS (X BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name M. SHAWN DREFFEIN		Vice President Name BONNIE G. SCHAB			
Street Address 401 WILSHIRE BLVD, STE 1100		Street Address 401 WILSHIRE BLVD, STE 1100			
City SANTA MONICA	State CA	Zip 90401	City SANTA MONICA	State CA	Zip 90401
Secretary Name THOMAS J. MEYER		Treasurer Name MAURA COLLINS			
Street Address 1 CORPORATE WAY		Street Address 401 WILSHIRE BLVD, STE 1100			
City LANSING	State MI	Zip 48951	City SANTA MONICA	State CA	Zip 90401
9. NAMES AND ADDRESSES OF THE DIRECTORS (X BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name M. SHAWN DREFFEIN		Director Name CLIFFORD J. JACK			
Street Address 401 WILSHIRE BLVD, STE 1100		Street Address 8055 E TUFTS AVE, STE 1000			
City SANTA MONICA	State CA	Zip 90401	City DENVER	State CO	Zip 80237
Director Name THOMAS J. MEYER		Director Name			
Street Address 1 CORPORATE WAY		Street Address			
City LANSING	State MI	Zip 48951	City	State	Zip
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
10,000 COMM NO PAR VALUE			1,000	COMMON	\$25.00

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



1 0 0 9 3 7

100937 FBC 02/16/05 10:44:28 AM

File Date

Check No.

By:

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

THOMAS J. MEYER

Print or Type Name of Officer

SECRETARY

Title of Officer

Date

2-16-05

Officers Continued:

Michael Bell
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

SENIOR VP

K.T. Fereday
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

1ST VP

Fred Fram
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

1ST VP

Paul Tolley
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

1ST VP

Kirsten Bosch
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

John Johnson
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

James P. Miller
5555 Grande Market Drive
Appleton, WI 54913

VP

Wendy Omura
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

Sean Haley
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST VP

Bryan K. Jacobsen
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP

Oscar Martinez
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP

Officers Continued:

Julie A. Goatley
212 N. 4th Street
Bismarck, ND 58501

ASSIST. SECRETARY



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
Office of the Secretary of State
Matthew A. Brown, Secretary of State

Corporations Division
100 North Main St
Providence, RI 02903-13
401.222.36

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2004

Filing Period: January 1 - March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No 100937		2. Name of Corporation NATIONAL PLANNING CORPORATION			
3. Street Address: Principal Business Office 401 WILSHIRE BLVD, STE 1100		City SANTA MONICA	State CA	Zip 90401	
4. Business Phone No. 517-367-4007		5. State of Incorporation DELAWARE		6. SIC Code 6064	
7. Brief Description of the Character of Business Conducted in Rhode Island TO OFFER A FULL RANGE OF SECURITY PRODUCTS, STOCKS, BONDS, MUTUAL FUNDS, VARIABLE ANNUITIES AND TO ACT AS A FULL SERVICE BROKER-DEALER					
8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name M. SHAWN DREFFEIN		Vice President Name BONNIE G. SCHAB			
Street Address 401 WILSHIRE BLVD, STE 1100		Street Address 401 WILSHIRE BLVD, STE 1100			
City SANTA MONICA	State CA	Zip 90401	City SANTA MONICA	State CA	Zip 90401
Secretary Name THOMAS J. MEYER		Treasurer Name ANDREW B. HOPPING			
Street Address 1 CORPORATE WAY		Street Address 1 CORPORATE WAY			
City LANSING	State MI	Zip 48951	City LANSING	State MI	Zip 48951
9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name M. SHAWN DREFFEIN		Director Name CLIFFORD J. JACK			
Street Address 401 WILSHIRE BLVD, STE 1100		Street Address 401 WILSHIRE BLVD, STE 1200			
City SANTA MONICA	State CA	Zip 90401	City SANTA MONICA	State CA	Zip 90401
Director Name THOMAS J. MEYER		Director Name			
Street Address 1 CORPORATE WAY		Street Address			
City LANSING	State MI	Zip 48951	City	State	Zip
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
10,000 COMM NO PAR VALUE			1,000	COMMON	NO PAR VAI

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



* 1 0 0 9 3 7 *

File Date **2/20/04**

Check No **000023371**

By: **SE**

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

THOMAS J. MEYER

Print or Type Name of Officer

SECRETARY

Date

2-10-04

Officers Continued:

Peter M. Johnson
5555 Grande Market Drive
Appleton, WI 54913

SENIOR VP

Maura Collins
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

K.T. Fereday
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

Fred Fram
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

John Johnson
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

James P. Miller
5555 Grande Market Drive
Appleton, WI 54913

VP

Walter Peczon
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

Paul Tolley
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

VP

Kirsten Bosch
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP

Dru Donatelli
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP

Officers Continued:

Gerry Gunderson
212 N. 4th Street
Bismarck, ND 58501

ASSIST. VP

Oscar Martinez
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP

Wendy Omura
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

ASSIST. VP



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

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2003

Filing Period: January 1 - March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. *100937*		2. Name of Corporation NATIONAL PLANNING CORPORATION			
3. Street Address Principal Business Office 401 WILSHIRE BOULEVARD, SUITE 1100		City SANTA MONICA	State CA	Zip 90401	
4. Business Phone No. 8887116721		5. State of Incorporation DELAWARE		6. SIC Code 6064	
7. Brief Description of the Character of Business Conducted in Rhode Island TO OFFER A FULL RANGE OF SECURITY PRODUCTS, STOCKS, BONDS, MUTUAL FUNDS, VARIABLE ANNUITIES AND TO ACT AS A FULL SERVICE BROKER-DEALER.					
8. NAMES AND ADDRESSES OF THE OFFICERS ("X" BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name M. SHAWN DREFFEIN		Vice President Name DAVID COLLETT			
Street Address 401 WILSHIRE BLVD, SUITE 1100		Street Address 401 WILSHIRE BLVD, SUITE 1100			
City SANTA MONICA	State CA	Zip 90401	City SANTA MONICA	State CA	Zip 90401
Secretary Name JAMES L. SIMON		Treasurer Name DAVID COLLETT			
Street Address 1 CORPORATE WAY		Street Address 401 WILSHIRE BLVD, SUITE 1100			
City LANSING	State MI	Zip 48951	City SANTA MONICA	State CA	Zip 90401
9. NAMES AND ADDRESSES OF THE DIRECTORS ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name ANDREW H. HOPPING		Director Name CLIFFORD J. JACK			
Street Address 1 CORPORATE WAY		Street Address 401 WILSHIRE BLVD, SUITE 1200			
City LANSING	State MI	Zip 48951	City SANTA MONICA	State CA	Zip 90401
Director Name JAMES L. SIMON		Director Name MICHAEL A. WELLS			
Street Address 1 CORPORATE WAY		Street Address 401 WILSHIRE BLVD, SUITE 1200			
City LANSING	State MI	Zip 48951	City SANTA MONICA	State CA	Zip 90401
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
10,000 COMM NO PAR VALUE			1000	COMMON	NO PAR VALUE

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



* 1 0 0 9 3 7 *

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

2/13/03
Date

JAMES L. SIMON
Print or Type Name of Officer

SECRETARY

Title of Officer

Form 630 12/01

**100937* 2/13/03 10:19:46 AM*

File Date

2/24/03

Check No.

0000020935

By

FOR SECRETARY OF STATE USE ONLY

2003 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

Steven K. McGinnis	SENIOR VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

Bonnie G. Schab	SENIOR VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

Peter Johnson	SENIOR VP
5555 Grande Market Drive	
Appleton, WI 54913	

Mark Nerud	VP
225 West Wacker, Ste. 1200	
Chicago, IL 60606	

James P. Miller	VP
1428 Midway Road	
Menasha, WI 54952	

Steve Penc	VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

Kathleen Smith	VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

K.T. Fereday	VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

Fred Fram	VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

John Johnson	VP
401 Wilshire Blvd, Ste 1100	
Santa Monica, CA 90401	

2003 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

Vere Reynolds-Hale ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Gerry Gunderson ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Wendy Omura ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Paul Tolley ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Anne Wimmer ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Walter Peczon ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Mark Latronica ASSIST. VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401



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

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 2002

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)



1. Corporate ID No. **100937** 2. Name of Corporation **NATIONAL PLANNING CORPORATION**
3. Street Address Principal Business Office **401 WILSHIRE BLVD, SUITE 1100** City **SANTA MONICA** State **CA** Zip **90401**
4. Business Phone No. **(888) 711-6721** 5. State of Incorporation **DELAWARE** 6. SIC Code **6064**

7. Brief Description of the Character of Business Conducted in Rhode Island
BROKER/DEALER OF MUTUAL FUNDS: INVESTMENT ADVISOR/DISTRIBUTOR
8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS

President Name M. SHAWN DREFFEIN Street Address 401 WILSHIRE BLVD, SUITE 1100 City SANTA MONICA State CA Zip 90401 Secretary Name JAMES L. SIMON Street Address 1 CORPORATE WAY City LANSING State MI Zip 48951	Vice President Name DAVID COLLETT Street Address 401 WILSHIRE BLVD, SUITE 1100 City SANTA MONICA State CA Zip 90401 Treasurer Name PETER M. JOHNSON Street Address 5555 GRANDE MARKET DRIVE City APPLETON State WI Zip 54913
--	---

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

Director Name ANDREW B. HOPPING Street Address 1 CORPORATE WAY City LANSING State MI Zip 48951 Director Name JAMES L. SIMON Street Address 1 CORPORATE WAY City LANSING State MI Zip 48951	Director Name CLIFFORD J. JACK Street Address 401 WILSHIRE BLVD, SUITE 1200 City SANTA MONICA State CA Zip 90401 Director Name MICHAEL A. WELLS Street Address 401 WILSHIRE BLVD, SUITE 1200 City SANTA MONICA State CA Zip 90401
---	--

10. SHARES AUTHORIZED (*X* BOX FOR ATTACHMENT) AUTHORIZED SHARES Number of Shares Class/Series Par Value 10,000 COMM NO PAR VALUE	11. SHARES ISSUED (*X* BOX FOR ATTACHMENT) ISSUED SHARES Number of Shares Class/Series Par Value 1,000 COMMON NO PAR VALUE
---	--

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



* 1 0 0 9 3 7 *

File Date: 3-5-02

Check No.: 11447

By: [Signature]

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] 2/19/02
Signature of Officer Date

JAMES L. SIMON
Print or Type Name of Officer

SECRETARY

2002 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

Jay A. Elliott SENIOR VP
10710 Midlothian Turnpike, Ste. 301
Richmond, VA 23221

Willard Barrett SENIOR VP
3500 South Blvd, Ste 18-B
Edmond, OK 73034

Douglas K. Kinder SENIOR VP
1018 W. St. Martens Drive, Suite 100
St. Joseph, MO 64056

Allan Chiulli VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Bonnie G. Schab SENIOR VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Fred Fram VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Dawna Kemper VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Mark Nerud VP
225 West Wacker, Ste. 1200
Chicago, IL 60606

Steven K. McGinnis SENIOR VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

John Johnson VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

2002 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

James P. Miller 1428 Midway Road Menasha, WI 54952	VP
Walter Peczon 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
Kathleen Smith 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	VP
Livia Eden 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
Anne Wimmer 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
Gerry Gunderson 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
K.T. Fereday 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	VP
Vere Reynolds-Hale 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
Paul Tolley 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
Wendy Omura 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP



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

Corporations Division
100 North Main Street, Providence, RI 02903-13
401-222-304

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2001

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)



1. Corporate ID No. 100937		2. Name of Corporation NATIONAL PLANNING CORPORATION			
3. Street Address Principal Business Office 401 Wilshire Blvd, Suite 1100		City Santa Monica	State CA	Zip 90401	
4. Business Phone No. (517) 367-4007	5. State of Incorporation DELAWARE		6. SIC Code 8064		
7. Brief Description of the Character of Business Conducted in Rhode Island BROKER/DEALER OF MUTUAL FUNDS; INVESTMENT ADVISOR/DISTRIBUTOR					
8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name M. SHAWN DREFFEIN		Vice President Name STEVEN K. MCGINNIS			
Street Address 401 WILSHIRE BLVD, SUITE 1100		Street Address 401 WILSHIRE BLVD, SUITE 1100			
City SANTA MONICA	State CA	Zip 90401	City SANTA MONICA	State CA	Zip 90401
Secretary Name JAMES L. SIMON		Treasurer Name PETER M. JOHNSON			
Street Address 1 CORPORATE WAY		Street Address 5555 GRANDE MARKET DRIVE			
City LANSING	State MI	Zip 48951	City APPLETON	State WI	Zip 54913
9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name ANDREW B. HOPPING		Director Name CLIFFORD J. JACK			
Street Address 1 CORPORATE WAY		Street Address 401 WILSHIRE BLVD, SUITE 1100			
City LANSING	State MI	Zip 48951	City SANTA MONICA	State CA	Zip 90401
Director Name MICHAEL A. WELLS		Director Name JAMES L. SIMON			
Street Address 401 WILSHIRE BLVD, SUITE 1200		Street Address 1 CORPORATE WAY			
City SANTA MONICA	State CA	Zip 90401	City LANSING	State MI	Zip 48951
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
10,000 COMM NO PAR VALUE			1,000	COMMON	NO PAR VALUE

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



* 1 0 0 9 3 7 *

File Date: 2/20

Check No.: 8065

By: [Signature]

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: [Signature] Date: 2/16/01

Print or Type Name of Officer
JAMES L. SIMON
SECRETARY

2001 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

Jay A. Elliott SENIOR VP
10710 Midlothian Turnpike, Ste. 301
Richmond, VA 23221

Willard Barrett SENIOR VP
3500 South Blvd, Ste 18-B
Edmond, OK 73034

Douglas K. Kinder SENIOR VP
1018 W. St. Martens Drive, Suite 100
St. Joseph, MO 64056

Scott W. Richardson SENIOR VP
900 Circle 75 Parkway, Ste. 1750
Atlanta, GA 30339

Allan Chiulli VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Bonnie G. Schab SENIOR VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Fred Fram VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Dawna Kemper VP
401 Wilshire Blvd, Ste 1100
Santa Monica, CA 90401

Mark Nerud VP
225 West Wacker, Ste. 1200
Chicago, IL 60606

Michael A. Wells VP
401 Wilshire Blvd, Ste 1200
Santa Monica, CA 90401

2001 Annual List of Officers, Directors and Agents of National Planning Corporation Continued:

Officers:

James P. Miller 1428 Midway Road Menasha, WI 54952	VP
--	----

Walter Peczon 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
--	------------

Kathleen Smith 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	VP
---	----

Livia Eden 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
---	------------

Anne Wimmer 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
--	------------

Gerry Gunderson 401 Wilshire Blvd, Ste 1100 Santa Monica, CA 90401	ASSIST. VP
--	------------



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

James R. Langevin, Secretary of State
Corporations Division
100 North Main Street, Providence, RI 02903-13
401-222-36



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

100937

NATIONAL PLANNING CORPORATION

3. Street Address Principal Business Office

City

State

Zip

401 Wilshire Blvd., Ste. 1100

Santa Monica

CA

90401

4. Business Phone No.

5. State of Incorporation

6. SIC Code

(310) 899-7900

DELAWARE

6064

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

Broker/Dealer - Investments and Securities

8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) X FILL IN SPACES BEFORE USING ATTACHMENTS

President Name

Vice President Name

Clifford Jack

M. Shawn Dreffein

Street Address

Street Address

401 Wilshire Blvd., Ste. 1100

401 Wilshire Blvd., Ste. 1100

City

State

Zip

City

State

Zip

Santa Monica CA

90401

Santa Monica

CA

90401

Secretary Name

Treasurer Name

James L. Simon

Peter M. Johnson

Street Address

Street Address

5901 Executive Drive

1428 Midway Road

City

State

Zip

City

State

Zip

Lansing MI

48911

Menasha

WI

54952

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

Director Name

Director Name

Andrew B. Hopping

Michael A. Wells

Street Address

Street Address

5901 Executive Drive.

401 Wilshire Blvd., Ste. 1200

City

State

Zip

City

State

Zip

Lansing MI

48911

Santa Monica

CA

90401

Director Name

Director Name

Street Address

Street Address

City

State

Zip

City

State

Zip

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

10,000 COMM NO PAR VALUE

1,000

Comm

None

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



* 1 0 0 9 3 7 *

FILED

File Date: FEB 15 2000

Check No.: By 024882

By:

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

Date

Steven K. McGinnis

Print or Type Name of Officer

Sr. Vice President

NATIONAL PLANNING CORPORATION

Clifford J. Jack	President & CEO; Director	SSN 050-62-4311
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	7516 El Manor Ave., Los Angeles, CA 90045	
Andrew B. Hopping	Director	SSN 384-58-5731
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	3703 Autumnwood Lane, Okemos, MI 48864	
Michael A. Wells	Director	SSN 553-04-7385
Business Address:	401 Wilshire Blvd., Ste. 1200, Santa Monica, CA 90401	
Resident Address:	16730 Calle Alicante, Pacific Palisades, CA 90272	
M. Shawn Dreffein	SVP Marketing	SSN 323-36-0730
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	514 S. Gerturda Ave., Redondo Beach, CA 90277	
Jay A. Elliott	SVP Divisional Director	SSN 506-64-9817
Business Address:	10710 Midlothian Turnpike, Ste. 301, Richmond, VA 23235	
Resident Address:	4102 Exeter Road, Richmond, VA 23221	
William Barrett	SVP Divisional Director	SSN 038-26-6686
Business Address:	3500 South Blvd., Ste 18-B, Edmond, OK 73013	
Resident Address:	1401 E. Morningstar, Edmond, OK 73034	
Douglas K. Kinder	SVP Divisional Director	SSN 483-58-1600
Business Address:	1018 W. St. Martens Drive, Suite 100, St. Joseph, MO 64056	
Resident Address:	14720 State Route DD, PO Box 348, Savannah, MO 64485	
Scott Richardson	SVP Divisional Director	SSN 481-88-3442
Business Address:	900 Circle 75 Parkway, Ste. 1750, Atlanta, GA 300339	
Resident Address:	6206 Alexander Circle, N.E., Atlanta, GA 30326	
✓ Steve McGinnis	SVP of Legal and Compliance	SSN 510-44-8136
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	One Nidden, Irvine, CA 92612-3462	
Peter M. Johnson	SVP, CFO, COO and Treasurer	SSN 396-74-1723
Business Address:	1428 Midway Road, Menasha, WI 54952	
Resident Address:	1640 Palisades Drive, Appleton, WI 54915	
James P. Miller	VP Operations	SSN 399-80-3662
Business Address:	1428 Midway Road, Menasha, WI 54952	
Resident Address:	3317 Blueberry Lane, Appleton, WI 54915	

Fred G. Fram	VP Compliance	SSN 461-08-6469
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	1528 Sappanwood Ave., Thousand Oaks, CA 91320	
Allan Chiulli	VP Packaged Products	SSN 036-40-1099
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	769 Ave. A, Redondo Beach, CA 90277	
Mark D. Nerud	VP	SSN 475-92-8049
Business Address:	225 West Wacker, Ste. 1200, Chicago, IL 60606	
Resident Address:	2507 Wild Timothy Road, Naperville, IL 60564	
James L. Simon	Secretary	SSN 386-56-9967
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	6870 Inkster Road, West Bloomfield, MI 48322	
Dawna Kemper	VP Corporate Communications	SSN 309-74-0141
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	1860 N. Fuller Ave., N209, Los Angeles, CA 90046	
Livia Eden	Assistant VP Finance	SSN 131-58-9442
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	30860 Overfall Drive, Westlake Village, CA 91362	
Apryl Thompson	Assistant VP Pershing Operations	SSN 564-70-6322
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	5202 Princeton Ave., Westminster, CA 92683	
Kathleen Whalen	Assistant VP Operations	SSN 382-92-4102
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	13816 Bora Bora Way, #A118, Marina Del Rey, CA 90292	
Walter Peczon	Assistant Investment Advisory	SSN 034-46-1093
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	1305 Cypress Avenue, Hermosa Beach, CA 90254	
Patricia Steinbacher	Assistant VP	SSN 110-38-9976
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	509 Morris Drive, Jackson, MI 49201	



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

James R. Langevin, Secretary of State
Corporations Division
100 North Main Street, Providence, RI 02903-1311
401-277-3011



PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1999

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)

1. Corporate ID No. 100937 2. Name of Corporation National Planning Corporation
3. Street Address Principal Business Office 401 Wilshire Blvd., Suite 1100 City Santa Monica State CA Zip 90401
4. Business Phone No. (310) 899-7900 5. State of Incorporation DE 6. SIC Code 6064

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

Broker-Dealer Firm

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

President Name <u>Clifford Jack</u>	Vice President Name <u>M. Shawn Dreffein</u>
Street Address <u>401 Wilshire Blvd., Suite 1100</u>	Street Address <u>401 Wilshire Blvd., Suite 1100</u>
City <u>Santa Monica</u> State <u>CA</u> Zip <u>90401</u>	City <u>Santa Monica</u> State <u>CA</u> Zip <u>90401</u>
Secretary Name <u>James Simon</u>	Treasurer Name <u>Harry Kitter</u>
Street Address <u>5901 Executive Drive</u>	Street Address <u>401 Wilshire Blvd., Suite 1100</u>
City <u>Lansing</u> State <u>MI</u> Zip <u>48911</u>	City <u>Santa Monica</u> State <u>CA</u> Zip <u>90401</u>

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

Director Name <u>Andrew Hopping</u>	Director Name <u>Michael Wells</u>
Street Address <u>5901 Executive Drive</u>	Street Address <u>5901 Executive Drive</u>
City <u>Lansing</u> State <u>MI</u> Zip <u>48911</u>	City <u>Lansing</u> State <u>MI</u> Zip <u>48911</u>

Street Address

City State Zip

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

AUTHORIZED SHARES

Number of Shares	Class/Series	Par Value
<u>10,000</u>	<u>Common</u>	<u>None</u>

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

ISSUED SHARES

Number of Shares	Class/Series	Par Value
<u>1,000</u>	<u>Common</u>	<u>None</u>

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

File Date: 7-23-99

Check No.: 3576

By: Amf

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 Harry Kitter

Print or Type Name of Officer

Sr. V.P.

Date 7/19/99

NATIONAL PLANNING CORPORATION

Clifford J. Jack	President & CEO; Director	SS# 050-62-4311
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	7516 El Manor Ave., Los Angeles, CA 90045	
Andrew B. Hopping	Director	SS# 384-58-5731
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	3703 Autumnwood Lane, Okemos, MI 48864	
Michael A. Wells	Director	SS# 553-04-7385
Business Address:	401 Wilshire Blvd., Ste. 1200, Santa Monica, CA 90401	
Resident Address:	16730 Calle Alicante, Pacific Palisades, CA 90272	
Harry M. Kitter	SVP, CFO, COO & Treasurer	SS# 182-42-4920
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	4380 Elkridge Drive, Rancho Palos Verdes, CA 90275	
M. Shawn Drefflein	SVP Marketing	SS# 323-36-0730
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	514 S. Gerturda Ave., Redondo Beach, CA 90277	
Jay A. Elliott	SVP Divisional Director	SS# 506-64-9817
Business Address:	10710 Midlothian Turnpike, Ste. 301, Richmond, VA 23235	
Resident Address:	4102 Exeter Road, Richmond, VA 23221	
William Barrett	SVP Divisional Director	SS# 038-26-6686
Business Address:	3500 South Blvd., Ste 18-B, Edmond, OK 73013	
Resident Address:	1401 E. Morningstar, Edmond, OK 73034	
Douglas K. Kinder	SVP Divisional Director	SS# 483-58-1600
Business Address:	1018 W. St. Martens Drive, Suite 100, St. Joseph, MO 64056	
Resident Address:	14720 State Route DD, PO Box 348, Savannah, MO 64485	
Scott Richardson	SVP Divisional Director	SS# 481-88-3442
Business Address:	900 Circle 75 Parkway, Ste. 1750, Atlanta, GA 300339	
Resident Address:	6206 Alexander Circle, N.E., Atlanta, GA 30326	
Steve McGinnis	SVP of Legal and Compliance	SS# 510-44-8136
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	One Nidden, Irvine, CA 92612-3462	

Fred G. Fram	VP Compliance	SS# 461-08-6469
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	1528 Sappanwood Ave., Thousand Oaks, CA 91320	
Allan Chiulli	VP Packaged Products	SS# 036-40-1099
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	769 Ave. A, Redondo Beach, CA 90277	
Mark D. Nerud	VP	SS# 475-92-8049
Business Address:	225 West Wacker, Ste. 1200, Chicago, IL 60606	
Resident Address:	2507 Wild Timothy Road, Naperville, IL 60564	
Dawna Kemper	VP Corporate Communications	SS# 309-74-0141
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	1860 N. Fuller Ave., #209, Los Angeles, CA 90046	
Michael Clark	IS VP Finance	SS# 558-17-5643
Business Address:	401 Wilshire Blvd., Ste. 1100, Santa Monica, CA 90401	
Resident Address:	10525 Encino Ave., Granada Hills, CA 91344	
Patricia Steinbacher	Assistant VP	SS# 110-38-9976
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	509 Morris Drive, Jackson, MI 49201	
James L. Simon	Secretary	SS# 386-56-9967
Business Address:	5901 Executive Drive, Lansing, MI 48911	
Resident Address:	6870 Inkster Road, West Bloomfield, MI 48322	



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Office of the Secretary of State

James R. Langevin, Secretary of State
Corporations Division
100 North Main Street, Providence, RI 02903-1100
401-222-3000

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 1999

Filing Period: January 1-March 1 • Filing Fee: \$50.00

(FORM MUST BE TYPED IN BLACK)



1. Corporate ID No. 100937		2. Name of Corporation NATIONAL PLANNING CORPORATION	
3. Street Address Principal Business Office 5901 EXECUTIVE DRIVE		City LANSING	State MI
4. Business Phone No. (517) 394-3400		5. State of Incorporation DELAWARE	6. SIC Code 6064
7. Brief Description of the Character of Business Conducted in Rhode Island BROKER/DEALER OF MUTUAL FUNDS; INVESTMENT ADVISOR/DISTRIBUTOR			
8. NAMES AND ADDRESSES OF THE OFFICERS (*X* BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS			
President Name CLIFFORD J. JACK		Vice President Name M. SHAWN DREFFEIN	
Street Address 401 WILSHIRE BLVD, SUITE 1100		Street Address 401 WILSHIRE BLVD, SUITE 1100	
City SANTA MONICA	State CA	City SANTA MONICA	State CA
Zip 90401		Zip 90401	
Secretary Name JAMES L. SIMON		Treasurer Name JAMES L. SIMON	
Street Address 5901 EXECUTIVE DRIVE		Street Address 5901 EXECUTIVE DRIVE	
City LANSING	State MI	City LANSING	State MI
Zip 48911		Zip 48911	
9. NAMES AND ADDRESSES OF THE DIRECTORS (*X* BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS			
Director Name CLIFFORD J. JACK		Director Name M. SHAWN DREFFEIN	
Street Address see above		Street Address see above	
City see above	State see above	City see above	State see above
Zip see above		Zip see above	
Director Name JAMES L. SIMON		Director Name PATRICIA STEINBACHER	
Street Address see above		Street Address 8055 E. TUFTS AVE, 2ND FLOOR	
City see above	State see above	City DENVER	State CO
Zip see above		Zip 80237	
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
10,000 COMM NO PAR VALUE		1,000	COMMON
			NO PAR VAL

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



* 1 0 0 9 3 7 *

File Date: 4/4/00

Check No.: 5290

By: 110

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

JAMES L. SIMON

Print or Type Name of Officer

SECRETARY

3/29/00

Date