



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 OR PRINTED IN BLACK)

1. Corporate ID No. 86684		2. Name of Corporation Capital Brokerage Corporation		
3. Street Address (Principal Business Office) 6604 W. Broad St.		City Richmond	State VA	Zip 23230
4. Business Phone No. (804) 662-2556		5. State of Incorporation WASHINGTON		6. SIC Code 6064
7. Brief Description of the Character of Business Conducted in Rhode Island REGISTERED BROKER/DEALER.				
8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS				
President Name Robert T. Methven		Vice President Name Ward E. Bobitz		
Street Address 6620 W. Broad St., Bldg 2		Street Address 6620 W. Broad St., Bldg 1		
City Richmond	State VA	Zip 23230	City Richmond	State VA
Secretary Name William E. Daner, Jr.		Treasurer Name Gary T. Prizzia		
Street Address 6620 W. Broad St., Bldg 2		Street Address 6620 W. Broad St., Bldg 1		
City Richmond	State VA	Zip 23230	City Richmond	State VA
9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS				
Director Name James J. Buddle		Director Name Geoffrey S. Stiff		
Street Address 6620 W. Broad St., Bldg. 1		Street Address 6620 W. Broad St., Bldg 2		
City Richmond	State VA	Zip 23230	City Richmond	State VA
Director Name Robert T. Methven		Director Name		
Street Address 6620 W. Broad St., Bldg 2		Street Address		
City Richmond	State VA	Zip 23230	City	State
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
100,000 COMM \$1.00 PAR VALUE			10,000	Common

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



86684

File Date 8/11/05
Check No. 4100021983
By DA

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.

Theresa A. Myers 8/10/05
Signature of Officer Date

Theresa A. Myers
Print or Type Name of Officer

Assistant Secretary
Title of Officer



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 2004

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

(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No. 86684		2. Name of Corporation Capital Brokerage Corporation		
3. Street Address Principal Business Office 6604 W. Broad St.		City Richmond	State VA	Zip 23230
4. Business Phone No. (804) 662-2556		5. State of Incorporation WASHINGTON		6. SIC Code 6064
7. Brief Description of the Character of Business Conducted in Rhode Island REGISTERED BROKER/DEALER.				
8. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☒ FILL IN SPACES BEFORE USING ATTACHMENTS				
President Name Robert T. Methven		Vice President Name Ward E. Bobitz		
Street Address 201 Merritt 7		Street Address 6620 W. Broad St.		
City Norwalk	State CT	Zip 06856	City Richmond	State VA
Secretary Name William E. Daner, Jr.		Treasurer Name Gary T. Prizzia		
Street Address 6610 W. Broad St.		Street Address 6620 W. Broad St.		
City Richmond	State VA	Zip 23230	City Richmond	State VA
9. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS				
Director Name James J. Buddle		Director Name Geoffrey S. Stiff		
Street Address 6620 W. Broad St.		Street Address 6610 W. Broad St.		
City Richmond	State VA	Zip 23230	City Richmond	State VA
Director Name Robert T. Methven		Director Name		
Street Address 201 Merritt 7		Street Address		
City Norwalk	State CT	Zip 06856	City	State
10. SHARES AUTHORIZED ("X" BOX FOR ATTACHMENT) ☐ AUTHORIZED SHARES				
Number of Shares 100,000 COMM \$1.00 PAR VALUE		Class/Series Common		Par Value \$1.00
11. SHARES ISSUED ("X" BOX FOR ATTACHMENT) ☐ ISSUED SHARES				
Number of Shares 10,000		Class/Series Common		Par Value \$1.00

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



* 8 6 6 8 4 *

File Date 2-9-04
Check No. 200333378
By: [Signature]

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.

Theresa A. Myers 2/5/04
Signature of Officer Date

Theresa A. Myers
Print or Type Name of Officer

Assistant Secretary
Title of Officer

Officer and Directors

Capital Brokerage Corporation - CBC

Current As Of: 2/5/2004

Officer Name	Officer Title	Address
Methven, Robert T.	President and Chief Executive Officer	201 Merritt 7 Norwalk CT 06856
Prizzia, Gary T.	Treasurer	6620 West Broad Street Richmond VA 23230
McKenney, Richard P.	Senior Vice President	6620 West Broad Street Richmond VA 23230
Stiff, Geoffrey S.	Senior Vice President	6610 West Broad Street Richmond VA 23230
Wiles, Edward J., Jr.	Senior Vice President and Chief Compliance Officer	201 Merritt 7 Norwalk CT 06856
Bobitz, Ward E.	Vice President and Assistant Secretary	6620 West Broad Street Richmond VA 23230
Cleveland, Joan H.	Vice President	700 Main Street Lynchburg VA 24505
Daglish, Brenda A.	Vice President and Assistant Treasurer	6620 West Broad Street Richmond VA 23230
Daner, William E.	Vice President, Counsel and Secretary	6610 West Broad Street Richmond VA 23230
Gray, Melissa K.	Vice President	6610 West Broad Street Richmond VA 23230
Groh, Kelly L.	Vice President and Chief Financial Officer	6610 West Broad Street Richmond VA 23230
Kannan, Richard J.	Vice President	6620 West Broad Street Richmond VA 23230
Karaffa, John E.	Vice President, Controller and Financial & Operations Principal	6610 West Broad Street Richmond VA 23230
Kuncl, James J.	Vice President	200 N. Martingale Road Schaumburg IL 60173
Miller, Jamie S.	Vice President	6604 West Broad Street Richmond VA 23230
Rubino, Russell L.	Vice President	3001 Summer Street Stamford CT 06912
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford CT 06927

2001

Myers, Theresa A.	Assistant Secretary	6620 West Broad Street Brookfield Building, 3rd Floor Richmond VA 23230
Sullivan, Shelley M.	Assistant Secretary	6620 West Broad Street Richmond VA 23230
Amato, John	Assistant Treasurer	201 Merritt 7 Norwalk CT 06856
Atkinson, Landis W., III	Assistant Treasurer	6604 West Broad Street Richmond VA 23230
Cassidy, Joseph T.	Assistant Treasurer	201 Merritt 7 Norwalk CT 06856
Fiammetta, Donna M.	Assistant Treasurer	201 Merritt 7 Norwalk CT 06856
Hyde, Jeffrey L.	Assistant Treasurer	201 Merritt 7 Norwalk CT 06856
Kempson, Kenneth E.	Assistant Treasurer	201 Merritt 7 Norwalk CT 06856
McNutt, Robert W.	Assistant Treasurer	6620 West Broad Street Richmond VA 23230

Directors

Director Name	Address
Buddle, James J.	6620 West Broad Street Richmond VA 23230
Methven, Robert	201 Merritt 7 Norwalk CT 06856
Stiff, Geoffrey S.	6610 West Broad Street Richmond VA 23230



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 2003

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

(FORM MUST BE TYPED OR PRINTED IN BLACK)

1. Corporate ID No.

86684

2. Name of Corporation

Capital Brokerage Corporation

3. Street Address Principal Business Office

6604 W. Broad St.

City

Richmond

State

VA

Zip

23230

4. Business Phone No.

(804) 662-2556

5. State of Incorporation

WASHINGTON

6. SIC Code

6064

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

Broker/Dealer

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

President Name

Adam T. Rochlin

Vice President Name

Ward E. Bobbitz

Street Address

201 Merritt 7

Street Address

6620 W. Broad St.

City

Norwalk

State

CT

Zip

06856

City

Richmond

State

VA

Zip

23230

Secretary Name

William E. Daner, Jr.

Treasurer Name

Gary T. Prizzia

Street Address

6610 W. Broad St.

Street Address

6620 W. Broad St.

City

Richmond

State

VA

Zip

23230

City

Richmond

State

VA

Zip

23230

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

Director Name

Victor C. Moses

Director Name

Geoffrey S. Stiff

Street Address

601 Union St.

Street Address

6610 W. Broad St.

City

Seattle

State

WA

Zip

98101

City

Richmond

State

VA

Zip

23230

Director Name

Director Name

Street Address

Street Address

City

City

State

State

Zip

Zip

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

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

100,000 COMM \$1.00 PAR VALUE

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

ISSUED SHARES

Number of Shares

Class/Series

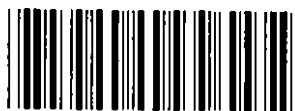
Par Value

10,000

Common

\$1.00

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



* 8 6 6 8 4 *

File Date:

1-27-03

Check No.:

200305476

By:

UP

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.

Theresa A. Myers

Signature of Officer

Date

1-16-03

Theresa A. Myers

Print or Type Name of Officer

Assistant Secretary

Title of Officer

Officer and Directors

Capital Brokerage Corporation - CBC

Current As Of: 1/14/03

Officer Name	Officer Title
Rochlin, Adam T.	President and Chief Executive Officer
Prizzia, Gary T.	Treasurer
McKenney, Richard P.	Senior Vice President
Wiles, Edward J.	Senior Vice President and Chief Compliance Officer
Methven, Robert T.	Senior Vice President
Moses, Victor C.	Senior Vice President
Stiff, Geoffrey S.	Senior Vice President
Bobitz, Ward E.	Vice President and Assistant Secretary
Cleveland, Joan H.	Vice President
Daglish, Brenda A.	Vice President and Assistant Treasurer
Daner, William E.	Vice President, Counsel and Secretary
Fucci, Richard G.	Vice President
Turner, Bonnie C.	Vice President
Groh, Kelly L.	Chief Financial Officer
Mann, Susan M.	Controller
McAnaney, Brian T.	Assistant Secretary
Myers, Theresa A.	Assistant Secretary
Sullivan, Shelley M.	Assistant Secretary
Amato, John	Assistant Treasurer
Atkinson, Landis W.	Assistant Treasurer
Cassidy, Joseph T.	Assistant Treasurer
Fiammetta, Donna M.	Assistant Treasurer
Hyde, Jeffrey L.	Assistant Treasurer
Kempson, Kenneth E.	Assistant Treasurer
McNutt, Robert W.	Assistant Treasurer

Directors

Officer Name

Officer Name

Moses, Victor C.

Stiff, Geoffrey S.

2003



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. 86684 2. Name of Corporation Capital Brokerage Corporation

3. Street Address Principal Business Office
6604 West Broad Street

City Richmond State VA Zip 23230

4. Business Phone No. (804) 662-2556 5. State of Incorporation WASHINGTON

6. SIC Code 6064

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

Broker/dealer

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

President Name
Christopher A. Cokinis

Vice President Name
Thomas W. Casey

Street Address
6630 West Broad Street

Street Address
6620 West Broad Street

City Richmond State VA Zip 23230

City Richmond State VA Zip 23230

Secretary Name
William E. Daner, Jr.

Treasurer Name
Gary T. Prizzia

Street Address
6610 West Broad Street

Street Address
6620 West Broad Street

City Richmond State VA Zip 23230

City Richmond State VA Zip 23230

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

Director Name
Victor C. Moses

Director Name
Geoffrey S. Stiff

Street Address
601 Union Street

Street Address
6610 West Broad Street

City Seattle State WA Zip 98101

City Richmond State VA Zip 23230

Director Name

Director Name

Street Address

Street Address

City

City

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

AUTHORIZED SHARES

Number of Shares Class/Series Par Value

100,000 COMM \$1.00 PAR VALUE

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

ISSUED SHARES

Number of Shares Class/Series Par Value

10,000 Common \$1.00

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



* 8 6 6 8 4 *

File Date: 3/21/02

Check No.: 200573785

Ry: GAN

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 Theresa A. Myers 3-14-02 Date

Print or Type Name of Officer Theresa A. Myers

Assistant Secretary

Title of Officer

Officers and Directors

Capital Brokerage Corporation

6630 West Broad Street
Richmond, VA 23230

2002
Current as of: 00/00/00*

<u>Officer Name</u>	<u>Officer Title</u>	<u>Business Address:</u>
Cokins, Christopher A.	President and Chief Executive Officer	6630 West Broad Street Richmond, VA 23230
Prizzia, Gary T.	Treasurer	6620 West Broad Street Richmond, VA 23230
Beck, David J.	Senior Vice President and Chief Investment Officer	601 Union Street, Suite 1300 Seattle, WA 98101
Casey, Thomas W.	Senior Vice President	6620 West Broad Street Richmond, VA 23230
Curtis, Scott A.	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Moses, Victor C.	Senior Vice President	601 Union Street Seattle, WA 98101
Stiff, Geoffrey S.	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Bobitz, Ward E.	Vice President and Assistant Secretary	6620 West Broad Street Richmond, VA 23230
Cleveland, Joan H.	Vice President	700 Main Street Lynchburg, VA 24505
Daglish, Brenda	Vice President and Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Daner, William E., Jr.	Vice President, Counsel and Secretary	6610 West Broad Street Richmond, VA 23230
DeVos, Stephen N.	Vice President and Investment Officer	601 Union Street Seattle, WA 98101

*Current as of date reflects date of last election/resignation.

Officers and Directors

Capital Brokerage Corporation

6630 West Broad Street
Richmond, VA 23230

2002

Current as of: 00/00/00*

Fucci, Richard G.	Vice President	6604 West Broad Street Richmond, VA 23230
Koster, Eugene S.	Vice President	700 Main Street Lynchburg, VA 24504
Groh, Kelly L.	Chief Financial Officer and Controller	6610 West Broad Street Richmond, VA 23230
Wiles, Edward J., Jr.	Chief Compliance Officer	201 Merrit 7 Norwalk, CT 068564800
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford, CT 06927
Myers, Theresa A.	Assistant Secretary	6620 West Broad Street Richmond, VA 23230
Sullivan, Shelley M.	Assistant Secretary	6620 West Broad Street Richmond, VA 23230
Amato, John	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Alkinson, Landis W.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Cassidy, Joseph T.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Fiammetta, Donna M.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Hyde, Jeffrey L.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Jones, Sandra A.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230

*Current as of date reflects date of last election/resignation.

Officers and Directors

Capital Brokerage Corporation

6630 West Broad Street
Richmond, VA 23230

2002
Current as of: 00/00/00*

Kempson, Kenneth E.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Trsic, Dan S.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Cheung, Michael S.	Investment Officer	601 Union Street, 13th Floor Seattle, WA 98101
Cook, Joseph E.	Investment Officer	601 Union Street Seattle, WA 98101
Dobrowolski, John T.	Investment Officer	2 Union Square, 13th Floor Seattle, WA 98101
Lucia, Jon M	Investment Officer	601 Union Street Seattle, WA 98101
Moers, Morian C.	Investment Officer	601 Union Street Seattle, WA 98101
Sheehan, Daniel J., IV	Mortgage Investment Officer	601 Union Street Seattle, WA 23230
Tollefson, Marc W.	Investment Officer	601 Union Street Seattle, WA 98101
Townier, Deborah C.	Mortgage Investment Officer	601 Union Street Seattle, WA 98101
<u>Directors:</u>	<u>Business Address:</u>	
Moses, Victor C.	601 Union Street Seattle, WA 98101	

*Current as of date reflects date of last election/resignation.

Officers and Directors

2002
Current as of: 00/00/00*

Capital Brokerage Corporation

6630 West Broad Street
Richmond, VA 23230

Sliff, Geoffrey S.

6610 West Broad Street
Richmond, VA 23230

*Current as of date reflects date of last election/resignation.

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. **86684** 2. Name of Corporation **Capital Brokerage Corporation**
3. Street Address Principal Business Office **6604 West Broad Street** City **Richmond** State **VA** Zip **23230**
4. Business Phone No. **(804) 662-2556** 5. State of Incorporation **WASHINGTON** 6. SIC Code **6064**

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

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

President Name Christopher A. Cokinis Street Address 6630 West Broad St. City Richmond State VA Zip 23230	Vice President Name Thomas W. Casey Street Address 6604 West Broad St. City Richmond State VA Zip 23230
Secretary Name William E. Daner, Jr. Street Address 6610 West Broad St. City Richmond State VA Zip 23230	Treasurer Name Gary T. Prizzia Street Address 6620 West Broad St. City Richmond State VA Zip 23230

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

Director Name Victor C. Moses Street Address 601 Union Street City Seattle State WA Zip 98101	Director Name Geoffrey S. Stiff Street Address 6610 West Broad St. City Richmond State VA Zip 23230
--	--

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

AUTHORIZED SHARES

Number of Shares	Class/Series	Par Value
100,000 SHS COMM	\$1.00	

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

ISSUED SHARES

Number of Shares	Class/Series	Par Value
10,000	Common	\$1.00

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



* 8 6 6 8 4 *

File Date: 2/23/01

Check No.: 0200206509

By: KUO

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 Theresa A. Myers Date 2-14-01

Print or Type Name of Officer Theresa A. Myers

Title of Officer Assistant Secretary

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Current As Of: 2/1/01

<u>Officer Name</u>	<u>Officer Title</u>	<u>Business Address:</u>
Cokinis, Christopher A.	President and Chief Executive Officer	6630 West Broad Street Richmond, VA 23230
Prizzia, Gary T.	Treasurer	6620 West Broad Street Richmond, VA 23230
Beck, David J.	Senior Vice President and Chief Investment Officer	601 Union Street, Suite 1300 Seattle, WA 98101
Casey, Thomas W.	Senior Vice President and Chief Financial Officer	6604 West Broad Street Richmond, VA 23230
Curtis, Scott A.	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Moses, Victor C	Senior Vice President	601 Union Street Seattle, WA 98101
Stiff, Geoffrey S.	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Bobitz, Ward E	Vice President and Assistant Secretary	6604 West Broad Street Richmond, VA 23230
Daglish, Brenda	Vice President and Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Daner, William E., Jr.	Vice President, Counsel and Secretary	6610 West Broad Street Richmond, VA 23230
DeVos, Stephen N.	Vice President and Investment Officer	6604 West Broad Street Richmond, VA 23230
Fucci, Richard G.	Vice President	6604 West Broad Street Richmond, VA 23230

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Groh, Kelly L.	Controller	6610 West Broad Street Richmond, VA 23230
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford, CT 06927
Myers, Theresa A.	Assistant Secretary	6604 West Broad Street Richmond, VA 23230
Sullivan, Shelley M.	Assistant Secretary	6604 West Broad Street Richmond, VA 23230
Amato, John	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Atkinson, Landis W.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Cassidy, Joseph T.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Fiammetta, Donna M.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Hyde, Jeffrey L.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Jones, Sandra A.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Kempson, Kenneth E.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Murphy, David R.	Assistant Treasurer	6620 West Broad Street Richmond, VA 23230
Card, Gregory M.	Investment Officer	601 Union Street Seattle, WA 98101

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Cheung, Michael S	Investment Officer	601 Union Street, 13th Floor Seattle, WA 98101
Cook, Joseph E	Investment Officer	601 Union Street Seattle, WA 98101
Dobrowski, John T	Investment Officer	2 Union Square, 13th Floor Seattle, WA 98101
Lucia, Jon M.	Investment Officer	601 Union Street Seattle, WA 98101
Moore, Morian C.	Investment Officer	601 Union Street Seattle, WA 98101
Prelwitz, Pamela M.	Mortgage Investment Officer	601 Union Street, Suite 5600 Seattle, WA 98101
Sheehan, Daniel J., IV	Mortgage Investment Officer	601 Union Street Seattle, WA 23230
Tollefson, Marc W.	Investment Officer	601 Union Street Seattle, WA 98101
Towner, Deborah C.	Mortgage Investment Officer	601 Union Street Seattle, WA 98101

Directors:

Moses, Victor C

Business Address:

601 Union Street
Seattle, WA 98101

Stiff, Geoffrey S.

6610 West Broad Street
Richmond, VA 23230



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 02903-1335
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. **86684** 2. Name of Corporation **Capital Brokerage Corporation**
3. Street Address Principal Business Office
6604 W. Broad St. City **Richmond** State **VA** Zip **23230**
4. Business Phone No. **(804) 662-2556** 5. State of Incorporation **WASHINGTON** 6. SIC Code **6064**
7. Brief Description of the Character of Business Conducted in Rhode Island
Broker/Dealer

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

President Name Scott A. Curtis Street Address 6610 W. Broad St. City Richmond State VA Zip 23230	Vice President Name Goeffrey S. Stiff Street Address 6610 W. Broad St. City Richmond State VA Zip 23230
Secretary Name William E. Daner, Jr. Street Address 6610 W. Broad St. City Richmond State VA Zip 23230	Treasurer Name Gary T. Prizzia Street Address 6620 W. Broad St. City Richmond State VA Zip 23230

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

Director Name Victor C. Moses Street Address 601 Union St. City Seattle State WA Zip 98101	Director Name Geoffrey S. Stiff Street Address 6610 W. Broad St. City Richmond State VA Zip 23230
Street Address City State Zip	Street Address City State Zip

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

AUTHORIZED SHARES

Number of Shares	Class/Series	Par Value
100,000 SHS COMM	\$1.00	

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

ISSUED SHARES

Number of Shares	Class/Series	Par Value
10,000	Common	\$1.00

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



* 8 6 6 8 4 *

3/2/00

File Date: _____

Check No: **200125821**

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.

Shelley M. Sullivan 2/22/00
Signature of Officer Date

Shelley M. Sullivan
Print or Type Name of Officer

Assistant Secretary
Title of Officer

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Current As Of: 02/15/2000

<u>Officer Name</u>	<u>Officer Title</u>	<u>Business Address:</u>
Curtis, Scott A.	President and Chief Executive Officer	6610 West Broad Street Richmond, VA 23230
Pizzia, Gary T.	Treasurer	6620 West Broad Street Richmond, VA 23230
Beck, David J	Senior Vice President and Chief Investment Officer	601 Union Street, Suite 1300 Seattle, WA 98101
Casey, Thomas W.	Senior Vice President and Chief Financial Officer	6604 West Broad Street Richmond, VA 23230
Moses, Victor C	Senior Vice President	601 Union Street Seattle, WA 98101
Sliff, Geoffrey S	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Yeagley, Marycatherine	Senior Vice President	601 Union Street Seattle, WA 98101
Bobitz, Ward E.	Vice President and Assistant Secretary	6604 West Broad Street Richmond, VA 23230
Daglish, Brenda	Vice President and Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Daner, William E., Jr.	Vice President, Counsel and Secretary	6610 West Broad Street Richmond, VA 23230
DeVos, Stephen N.	Vice President and Investment Officer	6604 West Broad Street Richmond, VA 23230
Fucci, Richard G.	Vice President and Controller	6604 West Broad Street Richmond, VA 23230

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Current As Of: 02/15/2000

Reeks, Scott A.	Vice President and Assistant Treasurer	6610 West Broad Street Richmond, VA 23230
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford, CT 06927
Sullivan, Shelley M.	Assistant Secretary	6604 West Broad Street Richmond, VA 23230
Amato, John	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Cassidy, Joseph T.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Fiammetta, Donna M.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Hyde, Jeffrey L.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Jones, Sandra A.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Kempson, Kenneth E.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Maw, Scott H.	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Murphy, David R.	Assistant Treasurer	6620 West Broad Street Richmond, VA 23230
Aaron, Janet M.	Mortgage Investment Officer	601 Union Street Seattle, WA 98101
Bridgeport, Parker D.	Investment Officer	601 Union Street Seattle, WA 98101

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Card, Gregory M.	Investment Officer	601 Union Street Seattle, WA 98101
Cook, Joseph E.	Investment Officer	601 Union Street Seattle, WA 98101
Lucia, Jon M.	Investment Officer	601 Union Street Seattle, WA 98101
Moers, Morian C.	Investment Officer	601 Union Street Seattle, WA 98101
Prelwitz, Pamela M.	Mortgage Investment Officer	601 Union Street, Suite 5600 Seattle, WA 98101
Sheehan, Daniel J., IV	Mortgage Investment Officer	601 Union Street Seattle, WA 23230
Tollefson, Marc W.	Investment Officer	601 Union Street Seattle, WA 98101
Towner, Deborah C.	Mortgage Investment Officer	601 Union Street Seattle, WA 98101
Vanic, Glen J.	Investment Officer	601 Union Street, Suite 1300 Seattle, WA 98101

Directors:

Moses, Victor C.

601 Union Street
Seattle, WA 98101

Business Address:

Stiff, Geoffrey S.

6610 West Broad Street
Richmond, VA 23230



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 02903-1335
401-222-3040



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. **86684** 2. Name of Corporation **Capital Brokerage Corporation**
3. Street Address Principal Business Office **6604 West Broad Street** City **Richmond** State **VA** Zip **23230**
4. Business Phone No. **(804) 662-2556** 5. State of Incorporation **WASHINGTON** 6. SIC Code **6064**
7. Brief Description of the Character of Business Conducted in Rhode Island

Broker Dealer

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

President Name

Scott A. Curtis

Street Address

6610 West Broad Street

City

State

Zip

Richmond

VA

23230

Secretary Name

John W. Attey

Street Address

7125 W. Jefferson Avenue, Suite 200

City

State

Zip

Lakewood

CO

80235

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

Director Name

Victor C. Moses

Street Address

601 Union Street

City

State

Zip

Seattle

WA

98101

Director Name

Vice President Name

Thomas W. Casey

Street Address

6604 West Broad Street

City

State

Zip

Richmond

VA

23230

Treasurer Name

Jeffrey I. Hugunin

Street Address

6604 West Broad Street

City

State

Zip

Richmond

VA

23230

Director Name

Geoffrey S. Stiff

Street Address

6610 West Broad Street

City

State

Zip

Richmond

VA

23230

Director Name

Street Address

City

State

Zip

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

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

100,000 SHS COMM \$1.00

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

ISSUED SHARES

Number of Shares

Class/Series

Par Value

10,000

Common

\$1.00

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



* 8 6 6 8 4 *

File Date: **02-08-99**

Check No.: **20251994**

By: **[Signature]**

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] **2/4/99**
Signature of Officer Date

Shelley M. Sullivan

Print or Type Name of Officer

Assistant Secretary

Title of Officer

Officers and Directors

Current As Of: 2/4/99

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

<u>Officer Name</u>	<u>Officer Title</u>	<u>Business Address:</u>
Curtis, Scott A.	President and Chief Executive Officer	6610 West Broad Street Richmond, VA 23230
Casey, Thomas W.	Senior Vice President and Chief Financial Officer	6604 West Broad Street Richmond, VA 23230
Kaminski, Charles A.	Senior Vice President	601 Union Street Seattle, WA 98101
Moses, Victor C.	Senior Vice President	601 Union Street Seattle, WA 98101
Stitt, Geoffrey S.	Senior Vice President	6610 West Broad Street Richmond, VA 23230
Yeagley, Marycatherine	Senior Vice President	601 Union Street Seattle, WA 98101
Attey, John W.	Vice President, Counsel and Assistant Secretary	7125 W. Jefferson Avenue, Suite 200 Lakewood, CO 80235
DeVos, Stephen N.	Vice President and Controller	6604 West Broad Street Richmond, VA 23230
Reeks, Scott A.	Vice President and Assistant Treasurer	6610 West Broad Street Richmond, VA 23230
Wiles, Edward J., Jr.	Vice President, Counsel and Assistant Secretary	777 Long Ridge Road, Bldg. B Stamford, CT 06927
Huginin, Jeffrey I.	Treasurer	6604 West Broad Street Richmond, VA 23230

Officers and Directors

Current As Of: 2/4/99

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Amato, John	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Cassidy, Joseph T.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Cook, Joseph E.	Assistant Treasurer	601 Union Street Seattle, WA 98101
Daglish, Brenda	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Hyde, Jeffrey L.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Jones, Sandra A	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Kempson, Kenneth E.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Lecouras, Patricia M.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Schulman, Gary J.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Bobitz, Ward E	Assistant Secretary	6604 West Broad Street Richmond, VA 23230
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford, CT 06927
Sullivan, Shelley M.	Assistant Secretary	6604 West Broad Street Richmond, VA 23230

Officers and Directors

Capital Brokerage Corporation

6604 West Broad Street
Richmond, VA 23230

Directors:

Moses, Victor C.

Stift, Geoffrey S.

Business Address:

601 Union Street
Seattle, WA 98101

6610 West Broad Street
Richmond, VA 23230

Current As Of: 2/4/99



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 02903-1335
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

86684

GNA SECURITIES, INC.

3. Street Address Principal Business Office

6604 West Broad Street

City

Richmond

State

Virginia

Zip

23230

4. Business Phone No.

(804) 662-2562

5. State of Incorporation

WASHINGTON

6. SIC Code

6064

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

Broker Dealer

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

President Name

Scott A. Curtis

Vice President Name

Geoffrey S. Stiff

Street Address

6610 West Broad Street

Street Address

700 Main Street

City

Richmond

State

VA

Zip

23230

City

Lynchburg

State

VA

Zip

24505

Secretary Name

John W. Attey

Treasurer Name

Jeffrey I. Hugunin

Street Address

7125 W. Jefferson Avenue

Street Address

6604 West Broad Street

City

Lakewood

State

CO

Zip

80235

City

Richmond

State

VA

Zip

23230

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

Director Name

Geoffrey S. Stiff

Director Name

Street Address

700 Main Street

Street Address

City

Lynchburg

State

VA

Zip

24505

City

State

Zip

Director Name

Victor C. Moses

Director Name

Street Address

601 Union Street

Street Address

City

Seattle

State

WA

Zip

98101

City

State

Zip

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

AUTHORIZED SHARES

Number of Shares

Class/Series

Par Value

100,000 SHS COMM \$1.00

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

ISSUED SHARES

Number of Shares

Class/Series

Par Value

10,000

Common

\$1.00

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



* 8 6 6 8 4 *

File Date:

3-16-98

Check No.:

100000165

By:

100

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

Shelley M. Sullivan

Date

2/26/98

Print or Type Name of Officer

Shelley M. Sullivan

Title of Officer

Assistant Secretary

Officers and Directors

Current As Of: 2/26/98

GNA Securities, Inc.

***6630 West Broad Street
Richmond, VA 23230***

<u><i>Officer Name</i></u>	<u><i>Officer Title</i></u>	<u><i>Business Address:</i></u>
Curtis, Scott A.	President and Chief Executive Officer	6610 West Broad Street Richmond, VA 23230
Joyce, Stephen P.	Senior Vice President	777 Long Ridge Road Stamford, CT 06927
Kaminski, Charles A.	Senior Vice President	601 Union Street Seattle, WA 98101
Moses, Victor C.	Senior Vice President	601 Union Street Seattle, WA 98101
Stiff, Geoffrey S.	Senior Vice President	700 Main Street Lynchburg, VA 24505
Yeagley, Marycatherine	Senior Vice President	601 Union Street Seattle, WA 98101
Hugunin, Jeffrey I.	Treasurer	6604 West Broad Street Richmond, VA 23230
Attey, John W	Vice President, Counsel and Assistant Secretary	7125 W. Jefferson Ave., Suite 200 Lakewood, CO 80235
Casey, Thomas W.	Vice President and Chief Financial Officer	6604 West Broad Street Richmond, VA 23230
DeVos, Stephen N.	Vice President and Controller	6604 West Broad Street Richmond, VA 23230
Reeks, Scott A.	Vice President and Assistant Treasurer	6610 West Broad Street Richmond, VA 23230
Wiles, Jr., Edward J.	Vice President, Counsel and Secretary	777 Long Ridge Road Stamford, CT 06927
Richmond, Laurence M	Vice President	124 Mt Auburn St., Suite 200 Cambridge, MA 02138
Singleton, J. Michael	Vice President	8750 West Bryn Mawr, Suite 550 Chicago, IL 60631
Vaselakos, Patricia C.	Vice President	1810 Waterwood Drive Arlington, TX 76012
Ashworth, Debora A.	Assistant Vice President	601 Union Street Seattle, WA 98101
McMurdie, J. Neil	Assistant Vice President and Associate Counsel	6610 West Broad Street Richmond, VA 23230

Amato, John	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Cassidy, Joseph T.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Cook, Joseph E.	Assistant Treasurer	601 Union Street Seattle, WA 98101
Daglish, Brenda	Assistant Treasurer	6604 West Broad Street Richmond, VA 23230
Hyde, Jeffrey L.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Kempson, Kenneth E.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Lecouras, Patricia M.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Schulman, Gary J.	Assistant Treasurer	777 Long Ridge Road Stamford, CT 06927
Van Cleave, Judith M.	Assistant Treasurer	4315 Metro Parkway Ft. Myers, FL 33916
McAnaney, Brian T.	Assistant Secretary	260 Long Ridge Road Stamford, CT 06927
Sullivan, Shelley M.	Assistant Secretary	6604 West Broad Street Richmond, VA 23230

Directors:**Business Address:**

Moses, Victor C

601 Union Street
Seattle, WA 98101

Stiff, Geoffrey S.

700 Main Street
Lynchburg, VA 24505



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 02903-1335
401-277-3040



PROFIT CORPORATION ANNUAL REPORT 1997

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

(FORM MUST BE TYPED IN BLACK)

1. Corp **86684** No. 2. **GNA SECURITIES, INC.**

3. Street Address Principal Business Office

601 Union Street * 900

4. Business Phone No.

(206) 625-1755

5. State **WASHINGTON**

City **Seattle**

State **WA**

Zip **98101**

6. SIC Code **6064**

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

Registered broker-dealer

Securities Marketing

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

President Name

Geoffrey S. Stiff

Vice President Name

Scott A. Curtis

Street Address

601 Union Street, Suite 900

Street Address

601 Union Street, Suite 900

City

Seattle

State

WA

Zip

98101

City

Seattle

State

WA

Zip

98101

Secretary Name

Edward J. Wiles, Jr.

Treasurer Name

Jeffrey I. Hugunin

Street Address

601 Union Street, Suite 900

Street Address

601 Union Street, Suite 900

City

Seattle

State

WA

Zip

98101

City

Seattle

State

WA

Zip

98101

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

Director Name

Geoffrey S. Stiff

Director Name

Victor C. Moses

Street Address

601 Union Street, Suite 900

Street Address

601 Union Street, Suite 900

City

Seattle

State

WA

Zip

98101

City

Seattle

State

WA

Zip

98101

Director Name

none

Director Name

none

Street Address

Street Address

City

State

Zip

City

State

Zip

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

AUTHORIZED SHARES

Number of Shares **100,000 SHS COMM** Class/Series **\$1.00** Par Value

ISSUED SHARES

Number of Shares **10,000** Class/Series **common** Par Value **\$1.00**

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



File Date: **2/21/97**

Check No.: **23156**

By: **COI**

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.

Harri J. Harrington **2-10-97**
Signature of Officer Date

Harri J. Harrington
Print or Type Name of Officer

Assistant Secretary

Title of Officer

GNA Securities, Inc. business address unless otherwise noted:

601 Union Street, Suite 5600
Seattle, Washington 98101-2336

1997
annual

List of Officers and Directors as of December 16, 1996

Geoffrey S. Stiff	Acting President
Victor C. Moses	Senior Vice President
Kenneth F. Starr	Senior Vice President
Charles A. Kaminski	Senior Vice President
Stephen P. Joyce	Senior Vice President
Marycatherine Yeagley	Senior Vice President
Marilee Byers	Senior Vice President
Edward J. Wiles, Jr.	Vice President, Counsel and Secretary
John W. Attey	Vice President, Counsel and Assistant Secretary
Thomas W. Casey	Vice President and Chief Financial Officer
J. Michael Singleton ¹	Vice President
Christopher M. Gregory ²	Vice President
Pamela A. Hughes	Vice President
Laurence M. Richmond ³	Vice President
Patricia C. Vaselakos ⁴	Vice President
Scott A. Curtis	Vice President
Stephen N. DeVos	Vice President and Controller
Jeffrey I. Hugunin	Treasurer
Debora A. Ashworth	Assistant Vice President
Lester G. Gruner	Assistant Vice President
J. Neil McMurdie	Assistant Vice President and Associate Counsel
Julie M. Bodmer	Assistant Secretary
Karri J. Harrington	Assistant Secretary
Brian T. McAnaney ⁵	Assistant Secretary
Gary J. Schulman ⁶	Assistant Treasurer
Brenda Daglish	Assistant Treasurer
Kenneth E. Kempson ⁶	Assistant Treasurer
John Amato ⁶	Assistant Treasurer
Patricia Lecouras ⁶	Assistant Treasurer
Jeffrey L. Hyde ⁶	Assistant Treasurer
Joseph T. Cassidy ⁶	Assistant Treasurer
Judith M. Van Cleave ⁷	Assistant Treasurer
Joseph Cook	Assistant Treasurer
Victor C. Moses	Director
Geoffrey S. Stiff	Director

¹ 8750 W. Bryn Mawr #550 Chicago IL 60631

² 1620 L Street, NW #625 Washington, DC 20036

³ 124 Mt. Auburn Street, #200, Cambridge, MA 02138

⁴ 1810 Waterwood Drive, Arlington, Texas 76012

⁵ 260 Long Ridge Road, Stamford, Connecticut 06927

⁶ 777 Long Ridge Road, Stamford, Connecticut 06927

⁷ 4315 Metro Parkway, Fort Myers, Florida

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 INK.

1. CORPORATE ID NO. 86684	2. NAME OF CORPORATION GNA SECURITIES, INC.
3. STREET ADDRESS PRINCIPAL BUSINESS OFFICE 601 UNION STREET, SUITE 5600	CITY SEATTLE
	STATE WA
	ZIP CODE 98101-2336
4. BUSINESS PHONE NO. (206) 625-1755	5. STATE OF INCORPORATION WASHINGTON
6. SIC CODE 8888	

7. BRIEF DESCRIPTION OF THE CHARACTER OF BUSINESS CONDUCTED IN RHODE ISLAND
REGISTERED BROKER/DEALER

8. NAMES AND ADDRESSES OF THE OFFICERS

PRESIDENT NAME PATRICK E. WELCH	VICE PRESIDENT NAME GEOFFREY S. STIFF
STREET ADDRESS 601 UNION STREET, SUITE 5600	STREET ADDRESS 601 UNION STREET, SUITE 5600
CITY SEATTLE	CITY SEATTLE
STATE WA	STATE WA
ZIP CODE 98101	ZIP CODE 98101
SECRETARY NAME EDWARD J. WILES, JR.	TREASURER NAME JEFFREY I. HUGONIN
STREET ADDRESS 601 UNION STREET, SUITE 5600	STREET ADDRESS 601 UNION STREET, SUITE 5600
CITY SEATTLE,	CITY SEATTLE
STATE WA	STATE WA
ZIP CODE 98101	ZIP CODE 98101

9. NAMES AND ADDRESSES OF THE DIRECTORS

DIRECTOR NAME PATRICK E. WELCH	DIRECTOR NAME VICTOR C. MOSES
STREET ADDRESS 601 UNION STREET, SUITE 5600	STREET ADDRESS 601 UNION STREET, SUITE 5600
CITY SEATTLE	CITY SEATTLE
STATE WA	STATE WA
ZIP CODE 98101	ZIP CODE 98101
DIRECTOR NAME GEOFFREY S. STIFF	
STREET ADDRESS 601 UNION STREET, SUITE 5600	
CITY SEATTLE	
STATE WA	
ZIP CODE 98101	

10. SHARES AUTHORIZED AND ISSUED

AUTHORIZED SHARES			ISSUED SHARES		
NUMBER OF SHARES	CLASS / SERIES	PAR VALUE	NUMBER OF SHARES	CLASS / SERIES	PAR VALUE
100,000 SHS COMM	\$1.00		10,000	COMMON	\$1.00

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.

Karri J. Harrington
Signature of Officer

KARRI J. HARRINGTON

Print or Type Name of Officer

ASST. SECRETARY

Title of Officer

01/18/96

File Date: 1/29/96

Check No: 0001639

By: *[Signature]*
For Secretary of State Use Only

GNA Securities, Inc.

business address unless otherwise noted: 601 Union Street, Suite 5600 Seattle, Washington
98101-2336

1996
annual

List of Officers and Directors as of December 1, 1995

Patrick E. Welch	President and Chief Executive Officer
Hans L. Carstensen, III	Senior Vice President and Chief Marketing Officer
Geoffrey S. Stiff	Senior Vice President and Chief Financial Officer
Victor C. Moses	Senior Vice President
Kenneth F. Starr	Senior Vice President
Charles A. Kaminski	Senior Vice President
Stephen P. Joyce	Senior Vice President
Marycatherine Yeagley	Senior Vice President
John W. Attey	Vice President, Counsel and Assistant Secretary
Edward J. Wiles, Jr.	Vice President, Counsel and Secretary
Thomas W. Casey	Vice President and Controller
J. Michael Singleton ¹	Vice President
Christopher M. Gregory ²	Vice President
Pamela A. Hughes	Vice President
Laurence M. Richmond ³	Vice President
Patricia C. Vaselakos ⁴	Vice President
Jeffrey I. Hugunin	Treasurer
Debra A. Ashworth	Assistant Vice President
Lester G. Gruner	Assistant Vice President
Julie M. Bodmer	Assistant Secretary
Karri J. Harrington	Assistant Secretary
Brian T. McAnaney ⁵	Assistant Secretary
William H. Brennan ⁶	Assistant Treasurer
Gary J. Schulman ⁶	Assistant Treasurer
Brenda Daglish	Assistant Treasurer
Kenneth E. Kempson ⁶	Assistant Treasurer
Robert J. Buckley ⁶	Assistant Treasurer
John Amato ⁶	Assistant Treasurer
Patricia Lecouras ⁶	Assistant Treasurer
Judith Van Cleave ⁷	Assistant Treasurer
Patrick E. Welch	Director
Victor C. Moses	Director
Geoffrey S. Stiff	Director

¹ 8750 W. Bryn Mawr #550 Chicago IL 60631

² 1620 L Street, NW #625 Washington, DC 20036

³ 124 Mt. Auburn Street, #200, Cambridge, MA 02138

⁴ 1810 Waterwood Drive, Arlington, Texas 76012

⁵ c/o GE Capital 260 Long Ridge Road, Stamford, Connecticut 06927

⁶ c/o GE Capital 777 Long Ridge Road, Stamford, Connecticut 06927

⁷ c/o GE Capital 4315 Metro Parkway, Fort Myers, Florida