

BrokerCheck Report

METLIFE INVESTORS DISTRIBUTION COMPANY

CRD# 6695

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**METLIFE INVESTORS DISTRIBUTION COMPANY**

CRD# 6695

SEC# 8-17973

Main Office Location22 CORPORATE PLAZA DRIVE
NEWPORT BEACH, CA 92660**Mailing Address**22 CORPORATE PLAZA DRIVE
NEWPORT BEACH, CA 92660**Business Telephone Number**

(949) 717-6536

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 01/10/1974.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/16/2004

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 01/10/1974.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

METLIFE INVESTORS DISTRIBUTION COMPANY

Doing business as METLIFE INVESTORS DISTRIBUTION COMPANY

CRD# 6695

SEC# 8-17973

Main Office Location

22 CORPORATE PLAZA DRIVE
NEWPORT BEACH, CA 92660

Mailing Address

22 CORPORATE PLAZA DRIVE
NEWPORT BEACH, CA 92660

Business Telephone Number

(949) 717-6536



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): METLIFE INVESTORS GROUP, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SHAREHOLDER

Position Start Date 07/1995

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BUFFINGTON, DEBORA LYNN MRS.

2219235

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT, CCO

Position Start Date 07/2001

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): DEUTH, CHARLES MILTON

1922397

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT - NATIONAL ACCOUNTS

Position Start Date 12/2004

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FORGET, ELIZABETH MARY
2767945

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VICE PRESIDENT- MONEY MANAGEMENT

Position Start Date 07/2001

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HIPWORTH, PAUL DAVID
2798832

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VICE PRESIDENT, CFO, FINOP

Position Start Date 07/2002

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): LAPIANA, PAUL ANTHONY

Firm Profile



Direct Owners and Executive Officers (continued)

	2237245
Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VICE PRESIDENT
Position Start Date	01/2002
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any): PEARSON, RICHARD CARL
1270673

Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	07/2001
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any): SUTHERLAND, LESLIE STUART
1603666

Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VICE PRESIDENT
Position Start Date	04/2002
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company?

Legal Name & CRD# (if any): WILSON, EDWARD COOK JR
804106

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VICE PRESIDENT

Position Start Date 08/2001

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	METLIFE, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	METLIFE INVESTORS GROUP, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	12/2002
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 05/28/1974 to 12/16/2004.

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 1 type of business.

Types of Business

Broker or dealer selling variable life insurance or annuities



Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

WALNUT STREET ADVISERS is under common control with the firm.

Business Address:	400 SOUTH 4TH STREET, SUITE 1000 ST. LOUIS, MO 63102
Effective Date:	12/31/2002
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	UNDER INDIRECT COMMON CONTROL BY METLIFE, INC.

GENERAL AMERICAN DISTRIBUTORS, INC. is under common control with the firm.

CRD #:	107622
Business Address:	700 MARKET STREET SAINT LOUIS, MO 63101
Effective Date:	12/31/2002
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON OWNERSHIP BY METLIFE, INC.

MET INVESTORS ADVISORY LLC is under common control with the firm.

CRD #:	105070
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Firm Operations



Organization Affiliates (continued)

Business Address: 22 CORPORATE PLAZA DRIVE
NEWPORT BEACH, CA 92660

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: (FORMERLY SECURITY FIRST INVESTMENT MANAGEMENT CORPORATION)
INDIRECTLY WHOLLY OWNED BY METLIFE, INC. THROUGH METLIFE INVESTORS GROUP, INC.

WALNUT STREET SECURITIES, INC. is under common control with the firm.

CRD #: 15840

Business Address: 400 SOUTH FOURTH STREET
SUITE 1000
ST. LOUIS, MO 63102

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: DIRECTLY OWNED BY METLIFE INC.

STATE STREET RESEARCH & MANAGEMENT COMPANY is under common control with the firm.

CRD #: 104552

Business Address: ONE FINANCIAL CENTER
BOSTON, MA 02111

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: INDIRECTLY WHOLLY OWNED BY METLIFE INC THROUGH SSRM HOLDINGS, INC.

SSR REALTY ADVISORS INC is under common control with the firm.

CRD #: 109457

Business Address: ONE N. BROADWAY, STE. 500
WHITE PLAINS, NY 10601

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: INDIRECTLY WHOLLY OWNED BY METLIFE INC THROUGH SSRM HOLDINGS, INC.

STATE STREET RESEARCH INVESTMENT SERVICES, INC. is under common control with the firm.

CRD #: 17580

Business Address: ONE FINANCIAL CENTER
BOSTON, MA 02111

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: INDIRECTLY WHOLLY OWNED BY METLIFE INC THROUGH SSRM HOLDINGS, INC.

NEW ENGLAND SECURITIES is under common control with the firm.

CRD #: 615

Firm Operations



Organization Affiliates (continued)

Business Address: 399 BOYLSTON STREET
BOSTON, MA 02116

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: INDIRECTLY WHOLLY OWNED BY METLIFE, INC. THROUGH METLIFE NEW ENGLAND HOLDINGS, NEW ENGLAND LIFE INSURANCE COMPANY AND NEW ENGLAND LIFE HOLDINGS, INC.

NATHAN & LEWIS SECURITIES, INC. is under common control with the firm.

CRD #: 8503

Business Address: 1140 AVENUE OF THE AMERICAS
FOURTH FLOOR
NEW YORK, NY 10036

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: INDIRECTLY WHOLLY OWNED BY METLIFE, INC. THROUGH METLIFE NEW ENGLAND HOLDINGS, INC.

METROPOLITAN LIFE INSURANCE COMPANY is under common control with the firm.

CRD #: 4095

Business Address: ONE MADISON AVENUE
NEW YORK, NY 10010

Effective Date: 12/31/2002

Foreign Entity: No

Country:

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	APPLICANT IS INDIRECTLY UNDER COMMON CONTROL WITH AFFILIATE BY METLIFE, INC.

METLIFE SECURITIES INC. is under common control with the firm.

CRD #:	14251
Business Address:	ONE MADISON AVENUE NEW YORK, NY 10010
Effective Date:	12/31/2002
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	WHOLLY OWNED BY METROPOLITAN LIFE INSURANCE COMPANY WHICH IS UNDER COMMON CONTROL WITH THE APPLICANT BY METLIFE, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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