

# 2001 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Aug 14, 2001 8:00 am**  
**Secretary of State**

08-14-2001 90003 033 \*\*\*550.00

**DOCUMENT # 839753**

1. Entity Name  
**PHOENIX ASSURANCE COMPANY OF NEW YORK**

Principal Place of Business <b>9300 ARROWPOINT BLVD.          CHARLOTTE NC 28273          US</b>	Mailing Address <b>9300 ARROWPOINT BLVD.          CHARLOTTE NC 28273          US</b>
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DO NOT WRITE IN THIS SPACE

2. Principal Place of Business Suite, Apt. #, etc.	3. Mailing Address Suite, Apt. #, etc.
City & State	City & State

4. FEI Number <b>13-5316370</b>	Applied For <input type="checkbox"/>	Not Applicable <input type="checkbox"/>
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Zip	Country	Zip	Country	5. Certificate of Status Desired <input type="checkbox"/>	<b>\$8.75</b> Additional Fee Required
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6. Name and Address of Current Registered Agent <b>CORPORATION SERVICE COMPANY 1201 HAYS STREET TALLAHASSEE FL 32301</b>	7. Name and Address of New Registered Agent Name Street Address (P.O. Box Number is Not Acceptable) City <b>FL</b> Zip Code
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8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_  
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. (See criteria on back) <input type="checkbox"/>	<b>FILE NOW!!! FEE IS \$550.00</b> <b>After September 12, 2001 Fee will be \$750.00</b> <b>Make Check Payable to Department of State</b>	10. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/> <b>\$5.00</b> May Be Added to Fees
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11. OFFICERS AND DIRECTORS		12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>C</b> <b>MENDELSON, ROBERT V</b> <b>9300 ARROWPOINT BLVD.</b> <b>CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>PD</b> <b>BRODERICK, TERRY</b> <b>9300 ARROWPOINT BLVD.</b> <b>CHARLOTTE NC 28273</b> <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>DSVP</b> <b>FISHER, JOSEPH F</b> <b>9300 ARROWPOINT BLVD.</b> <b>CHARLOTTE NC 28273</b> <input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D</b> <b>KOGEL, V. MICHAEL F</b> <b>9300 ARROWPOINT BLVD.</b> <b>CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVP</b> <b>MCDONALD, JAMES D</b> <b>9300 ARROWPOINT BLVD.</b> <b>CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition

SEE ATTACHED LIST

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

**SIGNATURE:** SIGNATURE REQUIRED **8/7/01** **704-522-2899**  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CFR2E034 (5/01)

## Directors, Officers Report

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Phoenix Assurance Company of New York as of Saturday, June 30, 2001 Wednesday, July 25, 2001

### DIRECTORS

Terry Broderick	Chairman
Joseph F. Fisher	Director
Ernest C. Frohboese	Director
Stephen M. Mulready	Director
James R. Pouliot	Director
Paul H. Stewman	Director
John Tighe	Director
Joyce W. Wheeler	Director

### OFFICERS

Terry Broderick	President and Chief Executive Officer
James R. Pouliot	Chief Operating Officer of Personal Insurance
Paul H. Stewman	Executive Vice President
Joseph F. Fisher	Senior Vice President and Chief Financial Officer
Ernest C. Frohboese	Senior Vice President and Chief Investment Officer
Michael J. McGinley	Senior Vice President and Chief Claim Officer
Stephen M. Mulready	Senior Vice President
John Tighe	Senior Vice President
Joyce W. Wheeler	Senior Vice President, Chief Corporate Officer and General Counsel
James G. Williams, III	Senior Vice President and Chief Information Officer
John W. Bartlett	Vice President
Sean A. Beatty	Vice President and Finance Officer
Peter J. Brown, III	Vice President
Bruce A. Bunner	Vice President
Dennis W. Cahill	Vice President
Douglas M. Campbell	Vice President
William A. Dickson, Jr.	Vice President
James A. Dixon	Vice President
John T. Dummler	Vice President
Donn Eaton	Vice President
Terry K. Feltner	Vice President
Gary R. Garcia	Vice President
David K. Graham	Vice President and Chief Reinsurance Officer
Richard D. Harris	Vice President and Administration Officer
Andrew F. Jacobson	Vice President

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Dan Keddie	Vice President
Susan C. Kesselman	Vice President
Jeffrey M. Klein	Vice President
Laura S. Lawrence	Vice President
John J. Limpert	Vice President and Chief Actuary
Gregory G. Locher	Vice President
Gregory J. Madson	Vice President
Elizabeth J. McLaughlin	Vice President
Thomas McMahon	Vice President
William T. Meisen	Vice President
Joseph J. Mistretta	Vice President
Joseph J. Monteleone	Vice President
Rick J. Morgan	Vice President
Ronald E. Murtlow	Vice President
James Nestheide	Vice President
David North	Vice President
John Pizetoski	Vice President
Vincent M. Pugliese	Vice President
Marvin L. Quinn	Vice President
Jack Reddy	Vice President
Daniel A. Reppert	Vice President
Donald L. Rinkert	Vice President
Stephen A. Rozich	Vice President
Robert D. Schultz	Vice President
Dan C. Schuster	Vice President
Charles K. Schuver	Vice President
David D. Shumway	Vice President
Brian C. Stahl	Vice President
Roy Vega	Vice President
Gregory M. Vezzosi	Vice President and Chief Underwriting Officer
Peter M. Vinci	Vice President and Controller
Thomas G. Walsh	Vice President and Financial Information Systems Executive
Stephen H. Ward	Vice President
Robert D. Wilkes	Vice President
Gwyn Fuller	Treasurer
Susan Pachapa	Tax Officer
Linda Y. Pettigrew	Corporate Secretary
Judy S. Spitzer	Assistant Corporate Secretary