

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
Feb 05, 2002 8:00 am
Secretary of State

02-05-2002 90116 018 ****50.00

DOCUMENT # M99000000557

1. Entity Name

PARK AVENUE SECURITIES LLC

Principal Place of Business

**7 HANOVER SQUARE
NEW YORK NY 10004**

Mailing Address

**81 HIGHLAND AVE.
MAIL STATION A-259
BETHLEHEM PA 18017**

918232



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

4. FEI Number

13-4023176

Applied For

Not Applicable

Zip

Country

Zip

Country

5. Certificate of Status Desired: ☐ ☒

**\$5.00 Additional
Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE FL 32301-2525**

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

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

Signature, typed or printed name of registered agent and title if applicable

(NOTE: Registered Agent signature required when reinstating)

DATE

**FILE NOW!!! FEE IS \$50.00
Make Check Payable to Department of State
Due By May 1, 2002**

9. MANAGING MEMBERS / MANAGERS

10. ADDITIONS / CHANGES

TITLE **MGR** ☒ Delete
NAME **DUTTER, PHILIP H**
STREET ADDRESS **29 MONTGOMERY RD**
CITY-ST-ZIP **GREENWICH CT 06831**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE **MGR** ☒ Delete
NAME **WARREN, WILLIAM C**
STREET ADDRESS **825 8TH AVE**
CITY-ST-ZIP **NEW YORK NY 10019**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE **MGR** ☒ Delete
NAME **FERRARA, ARTHUR V**
STREET ADDRESS **70 BALDWIN FARMS SO.**
CITY-ST-ZIP **GREENWICH CT 06831**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE **MGR** ☒ Delete
NAME **FUTIA, LEO R**
STREET ADDRESS **18 INTERLAKEN ROAD**
CITY-ST-ZIP **GREENWICH CT 06830**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE **MGR** ☐ Delete
NAME **SARGENT, JOSEPH D**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE **MGR** ☐ Delete
NAME **JONES, FRANK J**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

11. 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 is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes.

SIGNATURE:

SIGNATURE REQUIRED

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING MANAGING MEMBER, MANAGER, OR AUTHORIZED REPRESENTATIVE

Date

Daytime Phone #

1/24/02 610-802-7770

CR2E083 (9/01)

Attachment
918232

#M9900000557

PARK AVENUE SECURITIES LLC
7 Hanover Square, New York, New York 10004
 As of November 1, 2001

Corporate Officers

NAME	TITLE	SS#	RESIDENT ADDRESS	BIRTH DATE
Joanne B. Mack	President	111-34-4785	40 East 10 th Street, New York NY 10003	07/28/46
Theresa Nurge-Alws	Vice President, Chief Operations Officer	115-48-7334	12 Surrey Road, Massapequa NY 11758	07/18/60
William J. Burns	Vice President & Chief Compliance Officer	071-48-0823	206 Burns Street, Forest Hills NY 11375	08/09/61
James E. Clements	Vice President, Investment Advisory Services	150-60-6147	88 Skytop Road, Newton NJ 07860	07/08/68
Cheryl L. Crawford	Vice President & Controller	269-58-0335	24 Highwood Road, West Orange NJ 07052	01/19/55
Michael D. Fleming	Vice President, Operations	128-54-3948	58 Colgate Avenue, Yonkers NY 10703	07/06/61
Meryl A. Rosenthal	Vice President, Business Development	134-38-7993	55 Alpine Terrace, Hillsdale NJ 07642	04/27/64
Mark Silberman	Vice President & Chief Financial Officer (To be formally appointed)	253-48-2011	12 Hamilton Place, Garden City NY 11530	5/23/61
Nancy Moses Tepper	Vice President & Marketing Director	215-50-3915	28 Redcoat Drive, East Brunswick, NJ 08816	7/9/53
Joseph A. Caruso	Vice President & Corporate Secretary	144-42-9413	19 Brookside Drive, New Providence NJ	06/13/52
Richard T. Potter, Jr.	Vice President & Counsel	103-46-6915	415 Colonial Drive, Ridgewood NJ 07450	07/20/54
Earl Harry	Treasurer	098-46-3960	42 Sunset Avenue, Wheatley Heights NY 11794	03/22/49
Georgia Gaidula	Second Vice President, Operations	162-40-1652	1904 Math St., Hellertown PA 18055	09/26/48
Stephen Buell	Assistant Vice President, Customer Complaints & Regulatory Reporting	062-48-5511	640 Lawnside Place, Westfield, NJ 07090	7/25/53
Patrick Burns	Assistant Vice President, IA Compliance	155-786-331	230 Valleyview Drive, Franklin Lakes, NJ 07417	12/10/70
Alfred D'Urso	Assistant Vice President, Trade Surveillance	124-50-1757	215 Illinois Avenue, Medford, NY 11763	11/02/60
John McNulty	Assistant Vice President, Advertising & Communications	092-40-8144	20 Perrine Path Princeton, Jct., N.J. 08550	08/20/57
Salvatore Troia	Assistant Vice President & Controller	118-62-9998	154-57 21 st Avenue, Whitestone, NY 11357	9/8/69
Gary Ungar	Asst. Vice President- Technology	061-62-6772	1 Tabor Court, Livingston NJ 07039	05/04/73
Arthur Zottola	Assistant Vice President, Compliance Branch Exams	103-60-6282	301 Betsey Brown Rd., Rye Brook, NY 10573	12/30/65
Gregory Blazinski	Director, Agent Contracting & Licensing	136-48-3716	4211 Alder Road, Bethlehem PA 18020	11/26/56
Lynda Nixon	Director, Licensing	007-52-8095	1175 Sunset View Drive, Bethlehem PA 18017	04/13/49
Carol J. Yambao	Assistant Director, Licensing	146-70-8553	1805 Markham Drive, Bethlehem PA 18017	05/03/64
Karen L. Olvany	Asst. Secretary & Secretary Pro tem	081-50-7359	5 Geiger Place, Huntington Station NY 11746	09/03/57
Rob McIsaac	Vice President, Chief Technology Officer (To be formally Appointed by)	197-50-1247		08/16/--