

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Mar 12, 2001 8:00 am
Secretary of State

03-12-2001 90030 035 ***150.00

DOCUMENT # P05544

1. Entity Name

ASSOCIATED SECURITIES CORP.

Principal Place of Business

5933 W. CENTURY BLVD.
9TH FLOOR
LOS ANGELES CA 90045
US

Mailing Address

5933 W. CENTURY BLVD.
9TH FLOOR
LOS ANGELES CA 90045
US

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number **95-3793471**

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

PRENTICE-HALL CORPORATION SYSTEM, INC.
110 NORTH MAGNOLIA STREET
TALLAHASSEE FL 32301

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

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☒

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2001 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE **PD** ☐ Delete
NAME **NAKAGIRI, NEAL E**
STREET ADDRESS **5933 W. CENTURY BLVD.; 9TH FLOOR**
CITY-ST-ZIP **LOS ANGELES CA 90045**

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

TITLE **VP** ☐ Delete
NAME **ROBINSON, MAX**
STREET ADDRESS **5933 W. CENTURY BLVD. 9TH FLOOR**
CITY-ST-ZIP **LOS ANGELES CA**

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

TITLE **VPT** ☐ Delete
NAME **LINDSEY, JOHN R**
STREET ADDRESS **5933 W. CENTURY BLVD.; 9TH FLOOR**
CITY-ST-ZIP **LOS ANGELES CA**

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

TITLE **VPC** ☐ Delete
NAME **NAKAGIRI, NEAL E.**
STREET ADDRESS **5933 W. CENTURY BLVD.; 9TH FLOOR**
CITY-ST-ZIP **LOS ANGELES CA**

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

TITLE **VPR** ☐ Delete
NAME **SUJANANI, MURLI**
STREET ADDRESS **5933 W. CENTURY BLVD; 9TH FLOOR**
CITY-ST-ZIP **LOS ANGELES CA**

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

TITLE ☐ Delete
NAME
STREET ADDRESS
CITY-ST-ZIP

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

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 AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

3/5/2001

Date

(310) 670-0800

Daytime Phone #

CR2E034 (10/00)

attachment 631766
DH# P05544

**OFFICERS
OF
ASSOCIATED SECURITIES CORPORATION**

Name	Business Address	Title
William P. Barnard	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Insurance Services
Randal R. Carson	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Trading
John Lindsey	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Chief Financial Officer
Neal E. Nakagiri	5933 West Century Boulevard Los Angeles, CA 90045	President and Chief Executive Officer
Maxie L. Robinson	5933 West Century Boulevard Los Angeles, CA 90045	Vice President Compliance
Elgonde M. Scheffy	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Chief Operating Officer
Murli D. Sujanani	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Investment Research