

# 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

**9300 ARROWPOINT BLVD.  
 CHARLOTTE NC 28273  
 US**

Mailing Address

**9300 ARROWPOINT BLVD.  
 CHARLOTTE NC 28273  
 US**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

4. FEI Number

**13-5316370**

Applied For

Not Applicable

Zip

Country

Zip

Country

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

**CORPORATION SERVICE COMPANY  
 1201 HAYS 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 \$550.00  
 After September 12, 2001 Fee will be \$750.00  
 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

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>C MENDELSON, ROBERT V 9300 ARROWPOINT BLVD. CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>PD BRODERICK, TERRY 9300 ARROWPOINT BLVD. CHARLOTTE NC 28273</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>DSVP FISHER, JOSEPH F 9300 ARROWPOINT BLVD. CHARLOTTE NC 28273</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>D KOGEL, V. MICHAEL F 9300 ARROWPOINT BLVD. CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVP MCDONALD, JAMES D 9300 ARROWPOINT BLVD. CHARLOTTE NC 28273</b> <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Delete

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

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"/> Change <input type="checkbox"/> Addition
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"/> Change <input type="checkbox"/> Addition
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"/> 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**

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

8/7/01

704-522-2899

CR2E034 (5/01)

## Directors, Officers Report

83 9753  
Book 6217

**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. Dummmler	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

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

Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President and Chief Actuary  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President  
 Vice President and Chief Underwriting Officer  
 Vice President and Controller  
 Vice President and Financial Information Systems Executive  
 Vice President  
 Vice President  
 Treasurer  
 Tax Officer  
 Corporate Secretary  
 Assistant Corporate Secretary

839753  
 80062217