

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Mar 18, 2003 8:00 am
Secretary of State

03-18-2003 90072 034 ***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

☐ CHECK HERE IF MAKING CHANGES

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. I am familiar with, and accept the obligations of registered agent.

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 \$150.00

After May 1, 2003 Fee will be \$550.00

Make Check Payable to Florida Department of State

9. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be Added to Fees

10. OFFICERS AND DIRECTORS

11. 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 **(See attached for complete list)**
STREET ADDRESS
CITY-ST-ZIP

TITLE **VP** ☐ Delete
NAME **VANDERGRIFT, MARK**
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 **VPCO** ☐ Delete
NAME **SCHEFFY, ELGONDE M**
STREET ADDRESS **5933 WEST CENTURY BLVD.**
CITY-ST-ZIP **LOS ANGELES CA 90045**

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

12. 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 10 or Block 11 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

John R. Lindsey 3/12/2003 (310) 670-0800

CR2E034 (10/02)

Attachment 90054817
PO55-44
**OFFICERS
OF
ASSOCIATED SECURITIES CORPORATION**

Name & Resident Address	Business Address	Title
William P. Barnard 625 Kingman Ave. Santa Monica, CA 90402 555-44-2918	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Insurance Services
Randal R. Carson 1686 Strandway Ct. Westlake Village, CA 91361 556-31-9563	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Trading
John Lindsey 118 Forest Ave. Arcadia, CA 91106 567-62-4256	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Chief Financial Officer
Neal E. Nakagiri 17243 Leadwell St. Van Nuys, CA 91406-2538 565-04-8075	5933 West Century Boulevard Los Angeles, CA 90045	President and Chief Executive Officer
Elgonde M. Scheffy 3200 Buckingham Rd. Glendale, CA 91206 030-40-9225	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Chief Operating Officer
Murli D. Sujanani 5693 Lakia Dr. Cypress, CA 90630 474-76-2625	5933 West Century Boulevard Los Angeles, CA 90045	Senior Vice President Investment Research
Mary C. Galvan 934 N. Roundtable Ct. Walnut, CA 91789 559-47-5002	5933 West Century Boulevard Los Angeles, CA 90045	Vice President Operations
Denise Evans 2919 1/2 Angus St. Los Angeles, CA 90039 555-39-8519	5933 West Century Boulevard Los Angeles, CA 90045	Vice President Compliance
Patricia L. Gerwick 28138 Ashbrook Ln. Valencia, CA 91354 552-60-2976	5933 West Century Boulevard Los Angeles, CA 90045	Vice President Regional Director
Mark Vandegrift 1415 Second Ave. #101 Seattle, WA 98101 538-68-7976	5933 West Century Boulevard Los Angeles, CA 90045	Vice President Regional Director