

# 2001 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**May 12, 2001 8:00 am**  
**Secretary of State**

05-12-2001 90021 019 \*\*\*150.00

**DOCUMENT # P27575**

1. Entity Name  
**CHASE INVESTMENT SERVICES CORP.**

Principal Place of Business

**55 WATER STREET  
 18TH FLOOR  
 NEW YORK NY 10041-0199**

Mailing Address

**55 WATER STREET  
 18TH FLOOR  
 NEW YORK NY 10041-0199**

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 **13-3538956**

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

**CT CORPORATION SYSTEM  
 1200 S. PINE ISLAND ROAD  
 PLANTATION FL 33324**

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 **P** ☐ Delete  
 NAME **ROONEY, KATHLEEN**  
 STREET ADDRESS **55 WATER STREET**  
 CITY-ST-ZIP **NEW YORK NY 10041-0199 10081**

TITLE ☐ Change ☐ Addition  
 NAME **(See Attached address change)**  
 STREET ADDRESS  
 CITY-ST-ZIP

TITLE **CCO** ☐ Delete  
 NAME **JOHNSON, GARY T**  
 STREET ADDRESS **55 WATER STREET**  
 CITY-ST-ZIP **NEW YORK NY 10041-0199**

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

TITLE **VP** ☐ Delete  
 NAME **UPTON, CHARLES H**  
 STREET ADDRESS **55 WATER STREET**  
 CITY-ST-ZIP **NEW YORK NY 10041-0199**

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

TITLE **FOP** ☐ Delete  
 NAME **CASEY, WILLIAM**  
 STREET ADDRESS **2 CMP 30 FLOOR**  
 CITY-ST-ZIP **NEW YORK NY 10041-0199**

TITLE ☒ Change ☐ Addition  
 NAME **(SEE ATTACHED)**  
 STREET ADDRESS  
 CITY-ST-ZIP

TITLE **COO** ☐ Delete  
 NAME **LEADAM, JOHN M**  
 STREET ADDRESS **55 WATER STREET**  
 CITY-ST-ZIP **NEW YORK NY 10041-0199**

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

Date

Daytime Phone #

**4/27/01**

CR2E034 (10/00)

*Attachment*

CHASE INVESTMENT SERVICES CORP.  
OFFICERS AND DIRECTORS  
JANUARY, 2001

KATHLEEN M. ROONEY – PRESIDENT & DIRECTOR

1 Chase Manhattan Plaza, 30<sup>th</sup> floor, New York, NY 10081

GARY T. JOHNSON – CHIEF COMPLIANCE OFFICER, SROP, CROP

55 Water Street, 18<sup>th</sup> floor, New York, NY 10041

LEONARD PROSCIA – FINANCIAL AND OPERATIONS PRINCIPAL & DIRECTOR

1 Chase Manhattan Plaza, 30<sup>th</sup> floor, New York, NY 10081

CHARLES HARRY UPTON – CHIEF OPERATING OFFICER, VP, MSP,

55 Water Street, 18<sup>th</sup> floor, New York, NY 10041

HARRY F. Di SIMONE – DIRECTOR

1 Chase Manhattan Plaza, 17<sup>th</sup> floor, New York, NY 10081

JOSEPH M. SCHARFENBERGER, SR. – DIRECTOR

1 Chase Manhattan Plaza, 17<sup>th</sup> floor, New York, NY 10081

JOHN MICHAEL LEADAM – CHIEF OPERATIONS OFFICER

55 Water Street, 18<sup>th</sup> floor, New York, NY 10041

GAIL A. SCHNEIDER – DIRECTOR

1 Chase Manhattan Plaza, 30<sup>th</sup> floor, New York, NY 10081

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*C0060375*