

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 23, 2001 8:00 am
Secretary of State

01-23-2001 90009 034 ***150.00

0396574

DOCUMENT # P39853

1. Entity Name

GUARDIAN INVESTOR SERVICES CORPORATION

Principal Place of Business

**7 HANOVER SQUARE
NEW YORK NY 10004**

Mailing Address

**ATTN: SHEREEN ELEFANTE
P.O. BOX 26220
LEHIGH VALLEY PA 18002-6220
US**

ATTN: Anita Green

2. Principal Place of Business

3. Mailing Address

PO Box 26195

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Lehigh Valley, PA

Zip

Country

Zip

Country

18002-6195

US

4. FEI Number

13-2615338

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

**THE PRENTICE-HALL CORPORATION SYSTEM, INC.
1201 HAYS STREET
SUITE 105
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 **LONG, BRUCE**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

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

TITLE **VD** ☒ Delete
NAME **KANE, EDWARD K**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

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

TITLE **C** ☐ Delete
NAME **POTTER, RICHARD T JR**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

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

TITLE **V** ☐ Delete
NAME **SULLIVAN, DONALD**
STREET ADDRESS **3900 BURGESS PLACE**
CITY-ST-ZIP **BETHELEHEM PA 18017**

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

TITLE **T** ☐ Delete
NAME **HARRY, EARL**
STREET ADDRESS **7 HANOVER SQUARE**
CITY-ST-ZIP **NEW YORK NY 10004**

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

TITLE **AVP** ☐ Delete
NAME **CUMISKEY, RICHARD A**
STREET ADDRESS **P.O. BOX 26205**
CITY-ST-ZIP **LEHIGH VALLEY PA 18002-6221**

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

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

Richard Cumiskey

1/11/01

610-807-7710

CR2E034 (10/00)

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70/214

GUARDIAN INVESTOR SERVICES CORPORATION

<u>Office/Title</u>	<u>Officer</u>
President	Bruce C. Long
Senior Vice President, Fixed Income Securities	Thomas G. Sorell
Vice President & Corporate Secretary	Joseph A. Caruso
Vice President, Equity Securities	John B. Murphy
Vice President & Controller	Frank L. Pepe
Vice President & Counsel	Richard T. Potter, Jr.
Vice President, Equity Administration	Donald P. Sullivan, Jr.
Regional Vice President	Scott C. Brown
Regional Vice President	Joseph Dziena
Divisional Vice President	Keith Roddy
Vice President, Business Development	Peggy L. Coppola
Second Vice President, Investment Reporting	Robert A. Reale
Assistant Vice President & Compliance Officer	Richard A. Cumiskey
Assistant Vice President, Systems Support	Scott E. Horowitz
Assistant Vice President, Marketing Sales Support	Engracia Nunez
Assistant Controller	Paul Iannelli
Assistant Corporate Secretary & Secretary Pro tem	Karen L. Olvany
Regional VP	John V. Coyle
Treasurer	Earl C. Harry
Director, Broker-Dealer Sales	Robert W. Burnham
Director, Product Development & Distribution	Sarah A. Johnson
Director, Equity Admn. & Oversight	Lynn Kutzero
Director, Admn. Support	Sharon Campbell
Assistant Vice President, Advisory Services	Joseph Davis
Assistant Counsel	Lori Bostrom
District Sales VP	Patrick Burke
District Sales VP	Tom Devine
VP & National Accounts Manager	William Ford
Director, Advisory Services	Gretchen Hafner
District Sales VP	Alan Matthew
District Sales VP	Greg Rusteberg