

**2002 UNIFORM BUSINESS REPORT (UBR)****FILED**  
**Feb 07, 2002 8:00 am**  
**Secretary of State**

02-07-2002 90173 003 \*\*\*150.00

**DOCUMENT # P39853**

1. Entity Name

**GUARDIAN INVESTOR SERVICES CORPORATION LLC** *TM**No Name Change Filed*

Principal Place of Business

**7 HANOVER SQUARE  
NEW YORK NY 10004**

Mailing Address

**ATTN: ANITA GREEN  
PO BOX 26195  
LEHIGH VALLEY PA 18002-6195  
US**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City &amp; State

City &amp; State

Zip

Country

Zip

Country

4. FEI Number

**13-2645338 13-4198972**

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, 2002 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 NAME STREET ADDRESS CITY-ST-ZIP	<b>PD LONG, BRUCE 7 HANOVER SQUARE NEW YORK NY 10004</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>C POTTER, RICHARD T JR 7 HANOVER SQUARE NEW YORK NY 10004</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>V SULLIVAN, DONALD 3900 BURGESS PLACE BETHELEHEM PA 18017</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>T HARRY, EARL 7 HANOVER SQUARE NEW YORK NY 10004</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>AVP CUMISKEY, RICHARD A P.O. BOX 26205 LEHIGH VALLEY PA 18002-6221</b> <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<i>title change to Executive V.P.</i> <input checked="" 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	<i>title change to 2nd V.P.</i> <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> 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 REQUIRED**

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CR2E034 (9/01)

GUARDIAN INVESTOR SERVICES LLC

Attachment  
919321  
#P39853

<u>Office/Title</u>	<u>Officer</u>	<u>Address</u>
Executive Vice-President	Bruce C. Long	7 Hanover Square New York, NY 10004
Senior Vice President, Fixed Income Securities	Thomas G. Sorell	7 Hanover Square New York, NY 10004
Vice President & Corporate Secretary	Joseph A. Caruso	7 Hanover Square New York, NY 10004
Vice-President, Equity Securities	John B. Murphy	7 Hanover Square New York, NY 10004
Senior Vice President & Controller	Frank L. Pepe	7 Hanover Square New York, NY 10004
Vice President & Counsel	Richard T. Potter, Jr.	7 Hanover Square New York, NY 10004
Vice President, Equity Administration	Donald P. Sullivan, Jr.	3900 Burgess Pl, Beth, PA 18017
Regional Vice President	Joseph Dziena	27 Sturbridge Ct. Egg HarborTwp, NJ 08234
Divisional Vice President	Keith Roddy	56 Hannah's Way Ct. Sugar Land, TX 77479
Vice President, Business Development	Peggy L. Coppola	7 Hanover Square New York, NY 10004
Managing Director	Robert A. Reale	7 Hanover Square New York, NY 10004
2 <sup>nd</sup> Vice President & Compliance Officer	Richard A. Cumiskey	81 Highland Ave. Bethlehem, PA18017
Assistant Vice President, Systems Support	Scott E. Horowitz	7 Hanover Square New York, NY 10004
2 <sup>nd</sup> Vice President & Assistant Controller	Paul Iannelli	3900 Burgess Place Bethlehem, PA 18017
Assistant Corporate Secretary & Secretary Pro tem	Karen L. Olvany	7 Hanover Square New York, NY 10004
Regional VP	John V. Coyle	1021 Grand St., Pent. #5E Hoboken, NJ 07030
Treasurer	Earl C. Harry	7 Hanover Square New York, NY 10004
AVP, Product Development & Distribution	Sarah A. Johnson	7 Hanover Square New York, NY 10004
Director, Equity Admn. & Oversight	Lynn Kutzero	81 Highland Ave. Bethlehem, PA18017
Director, Admn. Support	Sharon Campbell	7 Hanover Square New York, NY 10004
AVP, Advisory Services	Joseph Davis	7 Hanover Square New York, NY 10004
Senior Counsel	Lori Bostrom	7 Hanover Square New York, NY 10004
District Sales VP	Patrick Burke	6 Greenfield Terrace Scituate, MA 02066
District Sales VP	Tom Devine	1114 Sienna Hill Dr. Houston, TX 77077

Attachment  
919321  
#P39853

VP & National Accounts Manager

Director, Advisory Services

District Sales VP

District Sales VP

Vice President, Internal Sales

Director, Equity Sales

Director

Director

Director

William Ford

Gretchen Hafner

Alan Matthew

Greg Rusteberg

Brian Krivitsky

Maura Sayers

Joseph Sargent

Frank Jones

Armand dePalo

6 Fontainebleau Dr.  
Hingham, MA 02043  
81 Highland Ave.  
Bethlehem, PA 18017  
15202 93<sup>rd</sup> Pl., NE  
Bothell, WA 98011  
20580 N. Landmark Lane  
Barrington, IL 60010  
7 Hanover Square  
New York, NY 10004  
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