



**State of Rhode Island and Providence Plantations  
Office of the Secretary of State**

Fee: \$50.00

Corporations Division  
148 W. River Street  
Providence, Rhode Island 02904-2615  
Telephone: (401) 222-3040

**Limited Liability Company  
Annual Report**

Filing Period: September 1 - November 1

*In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66(b&c)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2008

**1. ID No.** 000112448

**2. Exact Name of the Limited Liability Company** PCU FINANCIAL SERVICES, LLC

**3. State of Formation**

State: RI

**4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island**

NONDEPOSIT INVESTMENT PRODUCT SALES

**5. Principal Office Address**

No. and Street: 1200 CENTRAL AVENUE

City or Town: PAWTUCKET

State: RI

Zip: 02861

Country: USA

**6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:**

Contact Name: GEORGE J. CHARETTE III Contact Title:

No. and Street: 1200 CENTRAL AVENUE

City or Town: PAWTUCKET

State: RI

Zip: 02861

Country: USA

**7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.  
DO NOT LIST MEMBERS**

| <b>Title</b> | <b>Individual Name</b><br>First, Middle, Last, Suffix | <b>Address</b><br>Address, City or Town, State, Zip Code, Country |
|--------------|-------------------------------------------------------|-------------------------------------------------------------------|
| MANAGER      | KARL A KOZAK                                          | 1200 CENTRAL AVENUE<br>PAWTUCKET, RI 02861- USA                   |
| MANAGER      | LYNN A. M. WEINSTEIN                                  | 1200 CENTRAL AVENUE<br>PAWTUCKET, RI 02861 USA                    |
| MANAGER      | GEORGE J. CHARETTE                                    | 1200 CENTRAL AVENUE<br>PAWTUCKET, RI 02861 USA                    |
| MANAGER      | LEO MONGEAU                                           | 1200 CENTRAL AVENUE<br>PAWTUCKET, RI 02861 USA                    |

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER**  
**Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

GEORGE J. CHARETTE, III 1200 CENTRAL AVENUE PAWTUCKET , RI 02861-

**9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).**

**Signed this 10 Day of September, 2008 at 12:30:32 PM by the authorized person.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.*

By KARL A. KOZAK  
Signature of Authorized Person

Form No. 632  
Revised 09/07