



**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: 2009

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**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	GEORGE J. CHARETTE	1200 CENTRAL AVENUE PAWTUCKET, RI 02861 USA
MANAGER	LYNN A. M. WEINSTEIN	1200 CENTRAL AVENUE PAWTUCKET, RI 02861 USA
MANAGER	KARL A KOZAK	1200 CENTRAL AVENUE PAWTUCKET, RI 02861- USA
MANAGER	LEO MONGEAU	1200 CENTRAL AVENUE 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 28 Day of September, 2009 at 11:26:51 AM 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