



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

A. Ralph Mollis, Secretary of State
Corporations Division
148 W. River Street
Providence, RI 02904-2615
401.222.3040

LIMITED LIABILITY COMPANY ANNUAL REPORT FOR THE YEAR 2009

Filing Period: September 1 - November 1 • **Filing Fee:** \$50.00* • **THIS REPORT MUST BE TYPED OR PRINTED LEGIBLY IN BLACK INK.**

* 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.

1. ID No. 105706		2. Exact name of the limited liability company PARK AVENUE SECURITIES, LLC			
3. State of Formation DELAWARE		4. Brief description of the character of the business which is actually conducted in Rhode Island BROKER-DEALER SECURITIES			
5. Principal office address 7 Hanover Square		City New York	State NY	Zip 10004	
6. MAILING ADDRESS OF LIMITED LIABILITY COMPANY AND NAME OR TITLE OF CONTACT PERSON:					
Contact Name RICHARD POTTER			Contact Title VP & COUNSEL		
Street Address 7 Hanover Square		City New York	State NY	Zip 10004	
7. NAME AND ADDRESS OF EACH MANAGER OF THE LIMITED LIABILITY COMPANY, IF APPLICABLE - DO NOT LIST MEMBERS FILL IN SPACES BEFORE USING ATTACHMENTS ("X" BOX FOR ATTACHMENT) ☒					
Manager Name Rone Baldwin			Manager Name Robert E. Broatch		
Street Address 7 Hanover Square			Street Address 7 Hanover Square		
City New York	State NY	Zip 10004	City New York	State NY	Zip 10004
Manager Name Joseph A. Caruso			Manager Name D. Scott Dolfi		
Street Address 7 Hanover Square			Street Address 7 Hanover Square		
City New York	State NY	Zip 10004	City New York	State NY	Zip 10004
8. RESIDENT AGENT IN RHODE ISLAND This information is currently of record in the Office of the Secretary of State. Changes require filing of Form 642 - R.I.G.L. 7-16-11					

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

105706

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature of Authorized Person

JOSEPH CARUSO

Print or Type Name of Authorized Person

Date

10/21/09

File Date

12-28-09

Check No.

0000080658

By:

mnc

FOR SECRETARY OF STATE USE ONLY

PARK AVENUE Securities®

2009

BOARD OF MANAGERS

PARK AVENUE SECURITIES, LLC

Rone Baldwin - 7 Hanover Square New York, NY 10004

Robert E. Broatch - 7 Hanover Square New York, NY 10004

Joseph A. Caruso - 7 Hanover Square New York, NY 10004

D. Scott Dolfi - 7 Hanover Square New York, NY 10004

Gary B. Lenderink - 7 Hanover Square New York, NY 10004

Margaret W. Skinner - 7 Hanover Square New York, NY 10004

FILED

DEC 28 2009

By *mnc*

ID # 105706

Park Avenue Securities LLC

An Indirect Wholly Owned Subsidiary of The Guardian Life Insurance Company of America, New York NY
Member FINRA and SIPC