



**STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS**  
**Office of the Secretary of State - Division of Business Services**

148 W. River Street, Providence, Rhode Island 02904-2615

Phone: (401) 222-3040 ~ Email: corporations@sos.ri.gov ~ Website: www.sos.ri.gov

**PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2012**

Filing Period: January 1 - March 1 • This report must be typed or printed legibly.

Filing Fee: \$50.00 • FAILURE TO FILE THIS REPORT BY MARCH 31 WILL RESULT IN A \$25.00 PENALTY FEE.

1. Entity ID No. <b>545601</b>		2. Exact name of the Corporation <b>Cutwater Investor Services Corp.</b>					
3. Principal office address <b>113 King Street</b>				City <b>Armonk</b>	State <b>NY</b>	Zip <b>10504</b>	
4. Business Phone No. <b>(914) 766-3030</b>				5. State of Incorporation <b>Delaware</b>			
6. Brief description of the character of business conducted in Rhode Island <b>Please see EXHIBIT A Attached.</b>							
<b>7. LIST ALL OFFICERS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/></b>							
President Name <b>Please See EXHIBIT B Attached.</b>				Vice-President Name			
Street Address				Street Address			
City	State	Zip	City	State	Zip		
Secretary Name				Treasurer Name			
Street Address				Street Address			
City	State	Zip	City	State	Zip		
<b>8. LIST ALL DIRECTORS (NAMES AND ADDRESSES) ("X" BOX FOR ATTACHMENT) <input checked="" type="checkbox"/></b>							
Director Name <b>Please See EXHIBIT B Attached.</b>				Director Name			
Street Address				Street Address			
City	State	Zip	City	State	Zip		
Director Name				Director Name			
Street Address				Street Address			
City	State	Zip	City	State	Zip		
<b>9. SHARES AUTHORIZED</b>				<b>10. SHARES ISSUED ("X" BOX FOR ATTACHMENT) <input type="checkbox"/></b>			
This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.				NUMBER OF SHARES	CLASS/SERIES	PAR VALUE	
				10,000	Common	\$1.00	

This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

File Date **FEB 21 2012**

Check No \_\_\_\_\_

By: **1754**

**FOR SECRETARY OF STATE USE ONLY**

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.

*Leonard I. Chubinsky* **02/16/2012**  
 Signature of Authorized Representative Date

**Leonard I. Chubinsky, Secretary**  
 Print or Type Name of Authorized Representative

## EXHIBIT A

Cutwater Investor Services Corp. provides cash management, investment fund administration and fixed income investment management services to third-party institutional clients including municipalities and school districts in the United States.

**FILED**

**FEB 21 2012**

545601

**CUTWATER INVESTOR SERVICES CORP.**

(Current as of February 15, 2012)

**BUSINESS ADDRESS FOR ALL DIRECTORS & OFFICERS:**

113 King Street  
Armonk, NY 10504

**DIRECTORS:**

E. Gerard Berrigan  
Clifford D. Corso  
William C. Fallon  
Joseph L. Sevely

**OFFICERS:**

Clifford D. Corso  
Chris Moros  
Joseph L. Sevely  
Michelle Houck  
Leonard I. Chubinsky

Chief Executive Officer and Chief Investment Officer  
Managing Director and Chief Operating Officer  
Managing Director, Chief Financial Officer and Treasurer  
Director, General Counsel, Chief Compliance Officer and Assistant Secretary  
Director, Senior Corporate Counsel and Secretary

**FILED**  
FEB 21 2012  
545601

EXHIBIT B