



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

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corporation  
Annual Report**

Filing Period: January 1 - March 1

*In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2015

**1. Corporate ID No.** 000545601

**2. Name of Corporation** Cutwater Investor Services Corp.

**3. Street Address Principal Business Office:**

No. and Street: 113 KING STREET

City or Town: ARMONK

State: NY

Zip: 10504

Country: USA

**4. Business Phone No.**

**5. State of Incorporation**

State: DE

**6. Brief Description of the Character of Business Conducted in Rhode Island**

TO PROVIDE CASH MANAGEMENT, INVESTMENT FUND ADMINISTRATION AND FIXED INCOME INVESTMENT MANAGEMENT SERVICES TO THIRD PARTY INSTITUTIONAL CLIENTS INCLUDING MUNICIPALITIES AND SCHOOL DISTRICTS IN THE U.S.

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

| Title         | Individual Name<br>First, Middle, Last, Suffix | Address<br>Address, City or Town, State, Zip Code, Country |
|---------------|------------------------------------------------|------------------------------------------------------------|
| SECRETARY     | PATRICIA A. BICKET                             | 113 KING STREET<br>ARMONK, NY 10504 USA                    |
| TREASURER/CFO | JOSEPH I. SEVELY                               | 113 KING STREET<br>ARMONK, NY 10504 USA                    |
| CEO/PRESIDENT | CLIFFORD D. CORSO                              | 113 KING STREET<br>ARMONK, NY 10504 USA                    |
| DIRECTOR      | E. GERARD BERRIGAN                             | 113 KING STREET                                            |

|          |                           |                                         |
|----------|---------------------------|-----------------------------------------|
|          |                           | ARMONK, NY 10504 USA                    |
| DIRECTOR | GREGORY ALLAN BRISK       | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | CLIFFORD D. CORSO         | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | CHARLES BOWEN FARQUHARSON | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | MITCHELL E. HARRIS        | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | ABDALLAH NAUPHAL          | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JOSEPH I. SEVELY          | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JEFFREY BERNSTEIN         | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JOHN BLUEMKE              | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | BRIAN CARLSON             | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JASON CELENTE             | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | ROBERT T CLAIBORNE        | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JAMES B DICHARIO          | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | MARY K DONOVAN            | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | KEVIN G LOESCHER          | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | BERTHA D LUI-MCKEE        | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | ERIC A MCALLEY            | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | JOSEPH NELSON             | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | ALEXANDER NG              | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | TERESA SCHWARTZ           | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | THOMAS STABILE            | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | RICHARD S TALMADGE        | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | LAURA E THORNE-TRAINSKE   | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | THOMAS E VANDERMARK       | 113 KING STREET<br>ARMONK, NY 10504 USA |
| DIRECTOR | DAVID W WITTHOHN          | 113 KING STREET<br>ARMONK, NY 10504 USA |

## 8. Shares Authorized and Issued

|  |  |  |  |              |
|--|--|--|--|--------------|
|  |  |  |  | Total Issued |
|--|--|--|--|--------------|

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized<br>Shares<br><i>Number of Shares</i> | and<br>Outstanding<br><i>Num of<br/>Shares</i> |
|----------------|-----------------|---------------------|-------------------------------------------------------|------------------------------------------------|
| CWP            |                 | \$1.0000            | 10,000.00                                             | 1000                                           |

**9. 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.**

**Signed this 20 Day of February, 2015 at 5:36:16 PM.** *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 corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By KELLY LETTMANN

Signature of Authorized Representative of the Corporation

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

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