



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: 2016

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 First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
SECRETARY	PATRICIA A. BICKET	113 KING STREET ARMONK, NY 10504 USA
TREASURER/CFO	JOSEPH L. SEVELY	113 KING STREET ARMONK, NY 10504 USA
PRESIDENT/CEO	CLIFFORD D. CORSO	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	CLIFFORD D. CORSO	113 KING STREET

		ARMONK, NY 10504 USA
DIRECTOR	ROBERT T. CLAIBORNE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	ERIC A. MCALLEY	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JOHN ARIOLA	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JASON CELENTE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JAMES B. DICHIARO	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JEFFREY BERNSTEIN	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JOHN BLUEMKE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	BRIAN CARLSON	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	MARY K. DONOVAN	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	KEVIN G. LOESCHER	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	BERTHA D. LUI-MCKEE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	JOSEPH NELSON	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	ALEXANDER NG	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	THOMAS STABILE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	RICHARD S. TALMADGE	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	LAURA E. THORNE-TRAWINSKI	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	THOMAS F. VANDERMARK	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	DAVID W. WITTHOHN	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	MITCHELL EVAN HARRIS	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	GREG ALLAN BRISK	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	CHARLES BOWEN FARQUHARSON	113 KING STREET ARMONK, NY 10504 USA
DIRECTOR	ABDALLAH HABIB NAUPHAL	113 KING STREET ARMONK, NY 10504 USA

## 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of 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 16 Day of January, 2016 at 1:03:46 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

Form No. 630  
Revised 09/07

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