

Filing Fee: \$150.00

ID Number: 105706



**STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS**

Office of the Secretary of State  
Corporations Division  
100 North Main Street  
Providence, Rhode Island 02903-1335

**LIMITED LIABILITY COMPANY**

**APPLICATION FOR REGISTRATION**  
(To Be Filed In Duplicate)

Pursuant to the provisions of Section 7-16-49 of the General Laws, 1956, as amended, the undersigned limited liability company hereby applies for a Certificate of Registration to transact business in the State of Rhode Island, and for that purpose submits the following statement:

- The name of the limited liability company is:  
Park Avenue Securities LLC *oil*
- The name, if different, under which it proposes to register and transact business in Rhode Island is:  
\_\_\_\_\_
- The limited liability company is organized under the laws of Delaware
- The date of its organization is August 25, 1998
- The period of duration of the limited liability company is (if perpetual, so state) \_\_\_\_\_
- The address of the limited liability company's resident agent in Rhode Island is 170 Westminster Street, Suite 900  
(Street Address, not P.O. Box)  
Providence, RI 02903 and the name of the resident agent at such address  
(City/Town) (Zip Code)  
is Corporation Service Company
- The secretary of state is appointed the agent of the foreign limited liability company for service of process if at any time there is no resident agent or if the resident agent cannot be found or served following the exercise of reasonable diligence.
- The address of any office required to be maintained in the state or other jurisdiction under the laws of which the limited liability company is organized is:  
c/o Secretary of State, Townsend Building, Dover, Delaware 19901
- The mailing address for the limited liability company is:  
7 Hanover Square  
New York, New York 10004

**FILED**  
APR 1 1999  
BY [Signature] # 220346  
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## **Park Avenue Securities LLC**

### **List of Managers**

<b>Name</b>	<b>Business Address</b>
Philip H. Dutter	29 Montgomery Rd., Greenwich, CT 06831
William C. Warren	Roberts & Holland, 825 8 <sup>th</sup> Ave., NY, NY 10019
Arthur V. Ferrara*	70 Baldwin Farms So., Greenwich, CT 06831
Leo R. Futia*	18 Interlaken Road, Greenwich, CT 06830
Joseph D. Sargent**	
Frank J. Jones**	
Gregory H. Webster**	

\* Retired

\*\*Business Address is Guardian Life Insurance Company of America,  
7 Hanover Square, New York, New York 10004

*State of Delaware*  
*Office of the Secretary of State* PAGE 1

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I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF LIMITED LIABILITY COMPANY OF "PARK AVENUE SECURITIES LLC", FILED IN THIS OFFICE ON THE TWENTIETH DAY OF AUGUST, A.D. 1998, AT 9 O'CLOCK A.M.



Handwritten signature of Edward J. Freel in cursive script.

Edward J. Freel, Secretary of State

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991121164

AUTHENTICATION: 9655795

DATE: 03-29-99

**CERTIFICATE OF FORMATION  
OF  
Park Avenue Securities LLC**

This Certificate of Formation of Park Avenue Securities LLC (the "LLC") dated August 20, 1998 is being duly executed and filed by The Guardian Life Insurance Company of America to form a limited liability company under the Delaware Limited Liability Company Act, 6 Del. C. Section 18-101, et seq.

**FIRST:** The name of the LLC formed hereby is:

Park Avenue Securities LLC

**SECOND:** The address of the registered office and the name and address of the registered agent of the LLC required to be maintained in the State of Delaware by Section 18-104 of the Delaware Limited Liability Company Act are:

Corporation Service Company  
1013 Centre Road  
Wilmington, Delaware 19805

**IN WITNESS WHEREOF**, the undersigned has executed this Certificate of Formation as of the date first above written.

**THE GUARDIAN LIFE INSURANCE  
COMPANY OF AMERICA  
(Member)**

By Michael Schiffman  
Name: Michael Schiffman  
Title: Vice President