

FILE NOW: FILING FEE AFTER MAY 1 IS \$225.00

PROFIT
CORPORATION
ANNUAL REPORT
1996



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

DOCUMENT # 823247 (2)

1. Corporation Name

SBM FINANCIAL SERVICES, INC.



Principal Place of Business

8400 NORMANDALE LAKE BLVD.
#1150
MINNEAPOLIS MN 55437

Mailing Address

8400 NORMANDALE LAKE BLVD.
#1150
MINNEAPOLIS MN 55437

3. Date Incorporated or Qualified
09/16/1969

3a. Date of Last Report
04/21/1995

2. Principal Place of Business

21 239 S. Fifth Street

Suite, Apt. #, etc.

22 12th Floor

City & State

23 Louisville, KY

Zip

24 40202

Country
USA

2a. Mailing Address

26 239 S. Fifth Street

Suite, Apt. #, etc.

27 12th Floor

City & State

28 Louisville, KY

Zip

29 40202

Country
USA

4. FEI Number

41-0953406

Applied For

Not Applicable

5. Certificate of Status Desired

☐

\$8.75 Additional
Fee Required

6. Election Campaign Financing
Trust Fund Contribution

☐

\$5.00 May Be
Added to Fees

8. This corporation has liability for intangible tax under s. 199.032,
Florida Statutes ☐ Yes ☒ No

9. Name and Address of Current Registered Agent

CT CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION FL 33324

10. Name and Address of New Registered Agent

81 Name

82 Street Address (P.O. Box Number is Not Acceptable)

83

84 City

FL

85

Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

Signature, typed or printed name of registered agent and the date of filing

(NOTE: Registered Agent signature requires other registration)

DATE

12. OFFICERS AND DIRECTORS

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
PD
CARLBLOM, RICHARD M.
8400 NORMANDALE LAKE BLVD. STE 1150
BLOOMINGTON MN 55437

☐ DELETE

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
V
BALCK, WALTER W.
8400 NORMANDALE LAKE BLVD. STE 1150
BLOOMINGTON MN 55437

☐ DELETE

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
VD
BALEK, WALTER W.
8400 NORMANDALE LAKE BLVD #1150
MINNEAPOLIS MN

☒ DELETE

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
V
MARTENS, K.O.
8400 NORMANDALE LAKE BLVD, #1150
MINNEAPOLIS MN

☒ DELETE

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
V
CARLBLOM, RICHARD M.
8400 NORMANDALE LK BLVD, STE 1150
MINEAPOLIS MN

☒ DELETE

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP
S
GREGG, STEWART D.
8400 NORMANDALE LAKE BLVD STE 1150
MINEAPOLIS MN 55437

☒ DELETE

14. I do hereby certify that the information supplied with this filing is voluntarily furnished and does not qualify for the exemption stated in Section 119.07(3)(k), Florida Statutes. I further certify that the information indicated on this annual report or supplemental annual report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 12 or Block 13 if changed, or on an attachment with an address.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR
John R. McGeeney, Secretary

April 8, 1996

(502)582-7900

CR2E034 (12/95)

List of the Board of Directors
and Legal Officers
Last Update: 11/29/95

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SBM FINANCIAL SERVICES, INC.
239 S. Fifth Street, 12th Floor
Louisville, KY 40202

DIRECTORS: John R. McGeeney*
Edward J. Haines*

OFFICERS:

<u>Name</u>	<u>Office</u>
Edward J. Haines*	President
John R. McGeeney*	Secretary, General Counsel and Compliance Officer
Walter W. Balek** ^(a)	Vice President
Dale Bauman** ^(b)	Vice President
Robert Bryant** ^(c)	Vice President
Richard Carlblom** ^(d)	Vice President
Ronald Geiger** ^(e)	Vice President
Peter S. Resnik	Treasurer
Don W. Cummings	Controller
William H. Guth ^(d)	Operations Officer
David L. Anders	Marketing Officer
Rose M. Culbertson	Tax Officer
Patricia L. Mack	Assistant Secretary

****Securities Principal for BD purposes***

*****Registered Representative for BD purposes***

(a) 8400 Normandale Lake Blvd., Suite 982, Minneapolis, MN 55437

(b) 205 Clark, Ames, IA 50010

(c) 1550 East Shaw #120, Fresno, CA 93710

(d) 200 East Wilson Bridge Road, Worthington, OH 43085

(e) 100 N. Minnesota St., New Ulm, MN 56073

- All other officers are located at 239 S. Fifth St., 12th Floor, Louisville, KY 40202