

**2001 UNIFORM BUSINESS REPORT (UBR)**

**FILED**  
**Sep 18, 2001 8:00 am**  
**Secretary of State**

09-18-2001 90011 048 \*\*\*550.00

0135031 AT

**DOCUMENT # 838910**

1. Entity Name  
**U.S. BANCORP PIPER JAFFRAY INC.**

*(LA)*

Principal Place of Business      Mailing Address  
**222 S 9TH ST**                              **222 S 9TH ST**  
**PO BOX 28**                                      **PO BOX 28**  
**MINNEAPOLIS MN 55440**                      **MINNEAPOLIS MN 55440**



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business      3. Mailing Address  
**800 Nicollet Mall**                              **800 Nicollet Mall**  
 Suite, Apt. #, etc.                              Suite, Apt. #, etc.  
**Suite 800**    **Suite 800**  
 City & State                                      City & State  
**Minneapolis, MN**                              **Minneapolis, MN**  
 Zip    Zip    Country                                      Country  
**55402**                                      **55402**                                      **USA**                                      **USA**

4. FEI Number      Applied For  
**41-0953246**                                       Not Applicable  
 5. Certificate of Status Desired      \$8.75 Additional Fee Required

6. Name and Address of Current Registered Agent  
**C T CORPORATION SYSTEM**  
**1200 S. PINE ISLAND RD.**  
**PLANTATION FL 33324**

7. Name and Address of New Registered Agent  
 Name  
 Street Address (P.O. Box Number is Not Acceptable)  
 City                                      **FL**      Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_  
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. (See criteria on back)  **FILE NOW!!! FEE IS \$550.00**  
**After September 12, 2001 Fee will be \$750.00**  
**Make Check Payable to Department of State**  
 10. Election Campaign Financing Trust Fund Contribution.  **\$5.00 May Be Added to Fees**

11. OFFICERS AND DIRECTORS		12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CD PIPER, ADDISON L 222 S 9TH ST MINNEAPOLIS MN 55402 <i>Delete - see Attachment</i>	TITLE NAME STREET ADDRESS CITY-ST-ZIP	CD Piper, Addison L. 800 Nicollet Mall Minneapolis, MN 55402 <i>Delete - see Attachment</i>
TITLE NAME STREET ADDRESS CITY-ST-ZIP	T ROESLER, DEBORAH K. 222 S 9TH ST MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	Treasurer, & Vice President Sponem, Sandra G. 800 Nicollet Mall Minneapolis, MN 55402 <input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SMD CHASE, RICHARD T 222 S 9TH ST MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	Secretary & Vice President Chosy, James L 800 Nicollet Mall Minneapolis, MN 55402 <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP CARTER, TIMOTHY 222 S 9TH ST MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	800 Nicollet Mall Minneapolis, MN 55402 <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD DUFF, ANDREW S 222 S 9TH ST MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	800 Nicollet Mall Minneapolis, MN 55402 <input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	AS CHOSY, JAMES L 601 2ND AVE S MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<i>*See Changes to this officer noted above*</i> <i>See also additional info on attachment.</i>

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental 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 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: **SIGNATURE REQUIRED** James L. Chosy, Vice President & Corporate Secretary  
 \_\_\_\_\_  
Signature and typed or printed name of signing officer or director      Date      Daytime Phone #

CR2E034 (5/01)

*Attachment*  
979353  
#838910

**ATTACHMENT TO SECTIONS 11 & 12**  
**Of**  
**Florida Department of State Division of Corporations**  
**2001 Uniform Business Report**

**U.S. BANCORP PIPER JAFFRAY INC.**  
**LIST OF DIRECTORS and PRINCIPAL OFFICERS**

**SECTION 11 AND 12**

The list below is to replace the names listed in sections 11 and/or 12. The officers and directors listed below include some of the same names originally listed in Section 11. However, they have either changed their respective business address and/or their respective titles. Also listed are additional directors and principal officers to replace those deleted from section 11. Because the names and titles on this attachment include corrections to those originally given in sections 11 and 12, please utilize the list as it appears below and not as they appear on the original form.

<b><u>OFFICER'S NAME</u></b>	<b><u>TITLE</u></b>	<b><u>BUSINESS ADDRESS</u></b>
Addison L. Piper	Chairman & Director	800 Nicollet Mall Minneapolis, MN 55402-7020
Andrew S. Duff	Chief Executive Officer, President and Director	800 Nicollet Mall Minneapolis, MN 55402
Ross E. Rogers	Director	800 Nicollet Mall Minneapolis, MN 55402
Paul Karos	Director	800 Nicollet Mall Minneapolis, MN 55402
David W. MacLennan	Director	800 Nicollet Mall Minneapolis, MN 55402
Thomas S. Schreier, Jr.	Director	800 Nicollet Mall Minneapolis, MN 55402
James L. Chosy	General Counsel and Secretary	800 Nicollet Mall Minneapolis, MN 55402-7020
Sandra G. Sponem	Chief Financial Officer, Chief Operations Officer, and Treasurer	800 Nicollet Mall Minneapolis, MN 55402-7020



800 Nicollet Mall  
Minneapolis, MN 55402-7020  
612 303-6000

Attachment  
979353  
# 838910

12 September, 2001

**VIA EXPRESS OVERNIGHT DELIVERY**

Division of Corporations  
Uniform Business Report Filings  
409 East Gaines Street  
Tallahassee, FL 32399

Re: U.S. Bancorp Piper Jaffray Uniform Business Report


Dear Sir or Madam:

Enclosed for filing is the U.S. Bancorp Piper Jaffray 2001 Uniform Business Report. Also enclosed is a check in the amount of \$550.00 as filing fee and a single page attachment to Sections 11 and 12 reflecting additional officer names.

Pursuant to my telephone conversation on September 11, 2001, with "Deidra" of your office, because of the terrorist attacks in New York and Washington DC and the resulting grounding of all air traffic I was unable to send the report yesterday by Overnight Airborne Delivery as had been intended. Deidra assured me that given the circumstances, this filing would be considered "on time" and no additional fees will be assessed against U.S. Bancorp Piper Jaffray.

If you have any questions, please feel free to contact me at 612-303-6575. Thank you for your assistance in this matter.

Sincerely,

  
Patrice D. Blaeser  
Paralegal

Office of Corporate Secretary

Enclosures

cc: James L. Chosy