

# 2001 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Mar 20, 2001 8:00 am**  
**Secretary of State**  
 03-20-2001 90015 026 \*\*\*150.00

0442183

**DOCUMENT # 854863**

1. Entity Name  
**ROTHSCHILD ASSET MANAGEMENT INC.**

Principal Place of Business <b>1251 AVENUE OF THE AMERICAS          51ST FLOOR          NEW YORK NY 10020          US</b>	Mailing Address <b>1251 AVENUE OF THE AMERICAS          51ST FLOOR          NEW YORK NY 10020          US</b>
--	--

2. Principal Place of Business Suite, Apt. #, etc. City & State	3. Mailing Address Suite, Apt. #, etc. City & State
---	---



DO NOT WRITE IN THIS SPACE

4. FEI Number <b>13-2544634</b>	Applied For <input type="checkbox"/> Not Applicable
5. Certificate of Status Desired <input type="checkbox"/> \$8.75 Additional Fee Required	

6. Name and Address of Current Registered Agent  
**UNITED STATES CORPORATION COMPANY  
 1201 HAYS STREET  
 SUITE 105  
 TALLAHASSEE FL 32301**

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) <input type="checkbox"/>	<b>FILE NOW!!! FEE IS \$150.00</b> <b>After MAY 1, 2001 Fee will be \$550.00</b> <b>Make Check Payable to Department of State</b>	10. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/> <b>\$5.00</b> May Be Added to Fees
---	---	--

11. OFFICERS AND DIRECTORS

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVST WILLIAMS, GREGORY O. 24 CROSSRIDGE CIRCLE MARLBORO FL</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SRMD TAVEL, MARK K. 110 RIVERSIDE DR NEW YORK NY</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>CEOD JOHNSON, T. R 627 THIRD STREET BROOKLYN NY</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>SVP MCLOUGHLIN, DONALD J 11 TRI-BROOK DRIVE SOUTH SALEM NY</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>VP HARDING, JEFFREY J 265 SOUTH FLORA WAY GOLDEN CO</b>	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>PLEASE SEE ATTACHED FOR A COMPLETE LIST OF OFFICERS &amp; DIRECTORS</b>	<input type="checkbox"/> Delete

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>Managing Director</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<b>Senior Vice President</b>	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Change <input type="checkbox"/> Addition

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 an other like empowered.

SIGNATURE: Gregory O. Williams **Gregory O. Williams** 3/15/2001 212 403-3500  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CFR2E034 (10/00)

BUSINESS ADDRESS

1251 Avenue of the Americas  
New York, New York 10020

Attachment  
# 854863  
934774

January 2, 2001

ROTHSCHILD ASSET MANAGEMENT INC.

2001

Officers

		<u>RESIDENCE ADDRESS</u>
Paul H. Jenssen	Chief Financial Officer	23 Searingtown Road Searingtown, NY 11507
T. Radey Johnson	Chief Executive Officer	627 Third Street Brooklyn, NY 11215
Mark K. Tavel	Senior Managing Director <sup>1)</sup>	110 Riverside Drive New York, NY 10024
Frederick C. MacClure	Managing Director <sup>1)</sup>	410 West 53rd Street New York, NY 10019
Donald J. McLoughlin	Managing Director <sup>1)</sup>	11 Tri-Brook Drive South Salem, NY 10590
Joseph E. Bellantoni	Senior Vice President	12 Birch Brook Drive Valhalla, NY 10595
Jeffrey J. Harding	Senior Vice President	265 South Flora Way Golden, CO 80401
Steven D. Wasserman	Senior Vice President	8 Cooper Hawk Drive Manalapan, NJ 07726
Gregory O. Williams	Senior Vice President/ Secretary/Treasurer	24 Crossridge Circle Marlboro, NJ 07746
Tina Jones	Vice President	60 West 66th Street New York, NY 10023
Vincent Simeone	Vice President <sup>1)</sup>	6 Wyman Court Coram, NY 11727
Augusto T. Blanco	Assistant Vice President	1428 Webster Avenue Bronx, NY 10456

Attachment  
#854863  
934774

ROTHSCHILD ASSET MANAGEMENT INC.

2001

Officers (Cont'd)

RESIDENCE ADDRESS

Euclyn N. Ogill	Assistant Vice President	384 Orchard Street Englewood, NJ 07631
Judith R. MacDonald	Assistant Secretary	245 West 104th Street New York, NY 10025

Directors

RESIDENCE ADDRESS

T. Radey Johnson		627 Third Street Brooklyn, NY 11215
Paul V.S. Manduca		c/o Rothschild Asset Management Ltd. 1 King William Street London EC4N 7AR, UK
Gerald Rosenfeld		110 Riverside Drive New York, NY 10024
Mark K. Tavel		110 Riverside Drive New York, NY 10024

1) Five Arrows Division