

2007 FOR PROFIT CORPORATION ANNUAL REPORT

FILED
May 29, 2007 8:00 am
Secretary of State

05-29-2007 90044 031 ***150.00

DOCUMENT # 854863

1. Entity Name
ROTHSCHILD ASSET MANAGEMENT INC.



Principal Place of Business
**1251 AVE OF THE AMERICAS
NEW YORK, NY 10020 US**

Mailing Address
**1251 AVE OF THE AMERICAS
NEW YORK, NY 10020 US**

2. Principal Place of Business - No P.O. Box #

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

05042007

Chg-P

CR2E034 (12/06)

4. FEI Number
13-2544634

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**UNITED STATES CORPORATION COMPANY
1201 HAYS STREET
SUITE 105
TALLAHASSEE, FL 32302**

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable

(NOTE: Registered Agent signature required when reinstating)

DATE

**FILE NOW!!! FEE IS \$150.00
Due by September 14, 2007**

9. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

In accordance with s. 607.193(2)(b), F.S., the
corporation did not receive the prior notice.

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**SVST
WILLIAMS, GREGORY O.
24 CROSSRIDGE CIRCLE
MARLBORO, NJ 07746** ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**MDD
TAVEL, MARK K.
110 RIVERSIDE DR
NEW YORK, NY 10024** ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**CEOD
JOHNSON, R RADEY
627 THIRD STREET
BROOKLYN, NY 11215** ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
Johnson, T. Radey ☒ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**MD
HARDING, JEFFREY J
265 SOUTH FLORA WAY
GOLDEN, CO 80401** ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**CFO
JENSSEN, PAUL H
23 SEARINGTOWN ROAD
SEARINGTOWN, NY 11507** ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
**Salvatore Focella
56 Somerset Avenue
Garden City, NY 11530** ☒ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

12. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, 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 10 or Block 11 if changed, or on an attachment with an address with another like empowered.

SIGNATURE:

Gregory O. Williams

Gregory O. Williams

5/23/2007

212 403-3500

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

ATTACHMENT
40118770

BUSINESS ADDRESS

1251 Avenue of the Americas
New York, New York 10020

May 14, 2007

#854863

ROTHSCHILD ASSET MANAGEMENT INC.

2007

Officers

RESIDENCE ADDRESS

T. Radey Johnson	Chief Executive Officer	627 Third Street Brooklyn, NY 11215
Salvatore Focella	Chief Financial Officer	56 Somerset Avenue Garden City, NY 11530
James E. Johnson	Managing Director & Chief Operating Officer	215 West 78 th Street New York, NY 10024
Mary Jane Cullinan	Managing Director	50 Monastery Road Brighton, MA 02135
Mark F. Degenhart	Managing Director	81 Heritage Drive Shrewsbury, NJ 07702
Luis E. Ferreira	Managing Director	108 Hawks Hill Road New Canaan, CT 06840
Jeffrey J. Harding	Managing Director	265 South Flora Way Golden, CO 80401
Chris R. Kaufman	Managing Director	135 Eastern Parkway Brooklyn, NY 11238
Judith R. MacDonald	Managing Director Chief Compliance Officer & Assistant Secretary	245 West 104th Street New York, NY 10025
R. Daniel Oshinskie	Managing Director	50 Brookmere Drive Fairfield, CT 06430
Mark K. Tavel	Managing Director	110 Riverside Drive New York, NY 10024

ATTACHMENT
40118770

#854863

ROTHSCHILD ASSET MANAGEMENT INC.

2007

Officers (Cont'd)

		<u>RESIDENCE ADDRESS</u>
John C. Thomas	Managing Director	2818 Horseshoe Trail Chester Springs, PA 19425
Christopher M. Travers	Managing Director	15 Douglas Road Morristown, NJ 07960
Steven D. Wasserman	Managing Director	8 Cooper Hawk Drive Manalapan, NJ 07726
Joseph E. Bellantoni	Senior Vice President	12 Birch Brook Drive Valhalla, NY 10595
Michael P. Burke	Senior Vice President	94 Delaware Road Easton, CT 06612
Tina Jones	Senior Vice President	124 West 79 th Street New York, NY 10024
Anna Majewska-Nizioł	Senior Vice President	22 Evergreen Drive Clifton, NJ 07014
Gregory O. Williams	Senior Vice President/ Secretary/Treasurer	24 Crossridge Circle Marlboro, NJ 07746
Anthea Allen-Mikstay	Vice President	79 Somerset Road Hopewell Junction, NY 12533
William O. Bertolino	Vice President	24 First Street P.O. Box 444 Purdys, NY 10578
Augusto T. Blanco	Vice President	21 Sherwood Drive Poughkeepsie, NY 12603
Roger J. Bos	Vice President	166 Sycamore Road Jersey City, NY 07305

ATTACHMENT
40118770
#8548203
ROTHSCHILD ASSET MANAGEMENT INC.

2007

Officers (Cont'd)

		<u>RESIDENCE ADDRESS</u>
Jelena M. Milinkovic	Vice President	300 East 71 st Street New York, NY 10021
Charles C. Moran	Vice President	Two Fifth Avenue New York, NY 10011
Matthew P. Narlinger	Vice President	811 Loretta Drive River Vale, NJ 07675
Euclyn N. Ogill	Vice President	467 Liberty Road Englewood, NJ 07631
Paul A. Roukis	Vice President	102 Eden Avenue Massapequa Park, NY 11762
Vincent Simeone	Vice President	6 Wyman Court Coram, NY 11727
Richard E. Vasquez, Jr.	Vice President	31 Acker Drive Middletown, NJ 07748
Diana I. Diaz	Assistant Vice President	69 Olde Wagon Road Warwick, NY 10990

Directors

	<u>RESIDENCE ADDRESS</u>
T. Radey Johnson	627 Third Street Brooklyn, NY 11215
Gerald Rosenfeld	2211 Broadway New York, NY 10024
Mark K. Tavel	110 Riverside Drive New York, NY 10024