

2002 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # F92000000104

1. Entity Name
BMO NESBITT BURNS CORP.

FILED
Apr 24, 2002 8:00 am
Secretary of State

04-24-2002 90374 003 ***150.00

Principal Place of Business

430 PARK AVE
ATTN: LEGAL DEPARTMENT
NEW YORK NY 10022-3505
US

Mailing Address

430 PARK AVE
ATTN: LEGAL DEPARTMENT
NEW YORK NY 10022-3505
US



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business

3 Times Square
Suite, Apt. #, etc.
Attn: Legal Department

3. Mailing Address

3 Times Square
Suite, Apt. #, etc.
Attn: Legal Department

City & State
New York, New York

City & State
New York, New York

4. FEI Number 13-2620737

Applied For
Not Applicable

Zip Country
10036 USA

Zip Country
10036 USA

5. Certificate of Status Desired ☐ \$8.75 Additional Fee Required

6. Name and Address of Current Registered Agent

C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
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 _____ (NOTE: Registered Agent signature required when reinstating) DATE _____

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 \$150.00
After May 1, 2002 Fee will be \$550.00
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

TITLE	NAME	STREET ADDRESS	CITY-ST-ZIP	Delete
	COB			☒
	ORR, R J	1 FIRST CANADIAN PLACE	TORONTO, ONTARIO, CANADA M5X- 1H3	
	PD			☐
	HARTLEY, DAVID	430 PARK AVE FLOOR 15	NEW YORK NY 10022-3505	
	S			☐
	ZEISS, MICHAEL G	430 PARK AVENUE FLOOR 15	NEW YORK NY 10022-3505	
	AS			☐
	EPLETT, SUSAN	53 HILLHURST RD	TORONTO, ONTARIO, CANADA M5N- 1N5	
	D			☐
	COSTELLO, ELLEN	430 PARK AVE.	NEW YORK NY 10022	
	CFO			☐
	VORSTER, SUSANNE H	111-09 76TH RD APT E-1	FOREST HILLS NY 11375	

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE	NAME	STREET ADDRESS	CITY-ST-ZIP	Change	Addition
	SEE ATTACHED LISTS				
	PD			☒	☐
	Hartley, David	3 Times Square	New York, NY 10036		
	S			☒	☐
	Zeiss, Michael G.	3 Times Square	New York, NY 10036		
				☐	☐
	D			☒	☐
	Costello, Ellen	3 Times Square	New York, NY 10036		
	CFO			☒	☐
	Vorster, Susanne H.	3 Times Square	New York, NY 10036		

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: *Theresa M. ...* Assistant Secretary 4/12/02 (212) 605-1613

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CR2E034 (9/01)

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BMO NESBITT BURNS CORP.
(as of February 27, 2002)

<u>Directors</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
DOWNE, William A	524 Provident Winnetka, IL USA 60093	111 West Monroe Floor 3W Chicago, Illinois USA 60603	Chairman of the Board
LYMAN, Edward W.	1510 Tower Road Winnetka, IL USA 60093	111 West Monroe, 4W Chicago, Illinois USA 60603	Vice Chair
BOURDEAU, Yvan Joseph Pierre	393 Glencairn Avenue Toronto, Ontario Canada M5N 1V2	1 First Canadian Place Toronto, Ontario Canada M5X 1H3	Director only
WRIGHT, Thomas Charles	780 Sheridan Road Glencoe, IL USA, 60022	111 West Monroe St. 20th Floor East Chicago, Illinois USA 60604	Executive Managing Director
HARTLEY, David	1077 River Road Apartment 511N Edgewater, NJ USA 12764	3 Times Square New York, New York USA 10036	Executive Managing Director and Chief Operating Officer
COSTELLO, Ellen	247 East 71st Street New York, NY USA 10021	3 Times Square New York, NY USA 10036	Director only
HYMA, David R.	1657 Covington Terrace Mississauga, Ontario Canada L5M 3S4	1 First Canadian Place Toronto, Ontario Canada M5X 1A1	Director only
TANDON, Sanjiv	531 Main Street Suite 1515 New York, NY USA 10044	3 Times Square New York, New York USA 10036	Executive Managing Director
TRIPP, Eric Clifton	42 Balsam Avenue Toronto, ON Canada M4E 3B4	1 First Canadian Place Toronto, Ontario Canada M5X 1H3	Director only

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
ZEISS, Michael George	368 Carter St. New Canaan, CT USA 06840	3 Times Square New York, NY USA 10036	Managing Director and Secretary
EPLETT, Susan Elizabeth	53 Hillhurst Road Toronto, Ontario M5N 1N5 Canada	1 First Canadian Place Toronto, Ontario M5X 1H3 Canada	Assistant Secretary
HORRA, Yasmin	901 Duncannon Drive Pickering, Ontario L1X 2M3 Canada	1 First Canadian Place Toronto, Ontario M5X 1H3 Canada	Assistant Secretary
MCGRANN, Michael Sheehan	12 Treeline Court Etobicoke, Ontario M9C 1K8 Canada	1 First Canadian Place Toronto, Ontario M5X 1H3 Canada	Assistant Secretary
UMBS, Therese R.	519 Bloomfield Avenue Apt. 5C Caldwell, NJ USA 07006	3 Times Square New York, NY USA 10036	Assistant Secretary
ADAIR, Charles Louis	103 E. George Street Wheaton, IL USA 60187	115 South LaSalle 20th Floor West Chicago, IL USA 60603	Managing Director
ALLEN, James B.	147 West 49 th St. Apt. 7A New York, NY USA 10024	3 Times Square New York, NY USA 10036	Managing Director
BADE, Robert A.	101 South Summit Unit 210 Park Ridge, IL USA 60068	115 South LaSalle Street 20th Floor West Chicago, IL USA 60603	Vice-President
BARBINO, William J.	1212 Cromwell Lane Naperville, IL USA 60564	115 S. LaSalle Street 13 W Chicago, IL USA 60603	Vice-President

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
BENEDETTO, Rene Diane	130 East 12 th Street New York, NY USA 10003	3 Times Square New York, NY USA 10036	Vice-President
BRAFMAN, Lenard S.	81-50 190 th Street Jamaica, NY USA 11423	3 Times Square New York, NY USA 10036	Vice-President
BROWN, Timothy	60 East First Street Apt. 4B New York, NY USA 10003	3 Times Square New York, NY USA 10036	Vice-President
BUSA, Joseph	8 The High Road Bronxville, NY USA 10708	3 Times Square New York, NY USA 10036	Vice-President
CASPER, David Robert	2234 Crabtree Lane Northbrook, IL USA 60521	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
CECIL, David	12311 Broken Bough Houston, TX USA 77024	700 Louisiana Street Suite 4400 Houston, TX USA 77002	Vice-President
CERRONE, Maria	160 Olmsted Road Riverside, IL USA 60546	115 South LaSalle St. 19W Chicago, IL USA 60603	Vice-President
CHIN, Roger Ignatius	245 East 54th Street New York, NY USA 10022	3 Times Square New York, NY USA 10036	Managing Director
COLLTON, Edward T.	104 Drury Lane Schwenksville, PA USA 19473	3 Times Square New York, NY USA 10036	Vice-President
DeCAMP, Alfred	360 Peterbush Drive Monroe, NY USA 10950	3 Times Square New York, NY USA 10036	Vice-President

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
DOMENICO, Michael Leo	19 Hidden Pine Avenue Colts Neck, NJ USA 07722	3 Times Square New York, NY USA 10036	Managing Director
DONDERO, Stephen Joseph	8 Lynridge Lane Huntington, NY USA 11743	3 Times Square New York, NY USA 10036	Managing Director
DUNCAN, John "Jed" E.	765 Silvermine Road New Canaan, CT USA 06840	3 Times Square New York, NY USA 10036	Managing Director
EATROFF, Bruce A.	33 Westview Road Short Hills, NJ USA 07078	3 Times Square New York, NY USA 10036	Executive Managing Director
EDWARDS, Brad A.	888 Eighth Avenue Apt. 6H New York, NY USA 10019	3 Times Square New York, NY USA 10036	Vice President
EMOND, Gary	205 Seeley St. Brooklyn, NY USA 11218	3 Times Square New York, NY USA 10036	Managing Director
FOLEY, Denis	6155 W. Marshall Unit 3E Chicago Ridge, IL USA 60415	111 West Monroe St. 20 W Chicago, IL USA 60603	Vice-President
FRANKLIN, Scott Michael	1109 Longford Road Bartlett, IL USA 60103	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Vice-President
FRASER (McNally Smith), Harvey	1310 North Green Bay Rd. Lake Forest, IL USA 60045	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
GALASSINI, Lou	1452 West Henderson Chicago, IL USA 60657	115 South LaSalle Street 13th Floor Chicago, IL USA 60603	Vice-President

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
GIBBONS, Kevin Patrick	2650 North Orchard Chicago, IL USA 60614	115 South LaSalle Street 20th Floor West Chicago, IL USA 60603	Vice-President
GOLDSMITH, Mathew	321 East 90 th Street New York, NY USA 10128	3 Times Square New York, NY USA 10036	Managing Director
GOLL, James J.	32 Three Wells Lane Darien, CT USA 06820	3 Times Square New York, NY USA 10036	Managing Director
GROVA, Robert	381 Guyon Avenue Staten Island, NY USA 10306	3 Times Square New York, NY USA 10036	Vice-President
HINDENACH, James L.	111 Hemlock Hills North Fairfield, CT USA 06430	3 Times Square New York, NY USA 10036	Vice-President
HURWITZ, Peter A.	40 Half Moon Lane Irvington, NY USA 10530	3 Times Square New York, NY USA 10036	Managing Director
HURWITZ, Richard S.	25 Central Park West-17J New York, NY USA 10023	3 Times Square New York, NY USA 10036	Executive Managing Director
JANISCH, Matthew J.	4021 Arnold Houston, TX USA 77005	700 Louisiana Street Suite 4400 Houston, TX USA 77002	Managing Director
JOHNSON, Paul	1108 Linden Ave. Deerfield, IL USA 60015	111 West Monroe St. 20E Chicago, IL USA 60603	Vice-President
JOHNSTON, Beth F.	426 The Lane Hinsdale, IL USA 60521	111 West Monroe St. 20C Chicago, IL USA 60603	Executive Managing Director

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
KAISAND, Craig	148 Watchung Ave. Chatham, NJ USA 07928	3 Times Square New York, NY USA 10036	Vice-President
KENT, James P.	5861 West 126 th Street Alsip, IL USA 60803	115 South LaSalle 19W Chicago, IL USA 60603	Vice-President
KJEWSKI, Richard M.	66 - 17th Charleston Oak Forest, IL USA 60452	115 South LaSalle St. 20th Floor West Chicago, IL USA 60603	Managing Director
KNOOP, Steven E.	Apt. 102, 641 W. Willow Chicago, IL USA 60614	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
KRIS, Douglas A.	4 Hemlock Lane Morristown, NJ USA 07960	3 Times Square New York, NY USA 10036	Vice-President
KUCERA, David John	1800 West Wabansia Chicago, IL USA 60622	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
LAUTERJUNG, Amy	5125 North Kenmore Ave. Apt 5S Chicago, IL 60640	111 West Monroe St. 11W Chicago, IL USA 60603	Vice-President
LAVITT, Jed	44 Jane Street New York, NY USA 10014	3 Times Square New York, NY USA 10036	Vice-President
LAZAROVICI, Victor	100 Green Acres Ave. Scarsdale, NY USA 10583-7109	3 Times Square New York, NY USA 10036	Managing Director
LYNCH, Owen Thomas	68 Oakland Place Summit, NJ USA 07901	3 Times Square New York, NY USA 10036	Executive Managing Director

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
MAJERUS, Paul Gregory	Apt. 3, 1016 West Wolfran Chicago, IL USA 60657	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Vice-President
MARK, Ronald L.	2524 Woodlawn Road Northbrook, IL USA 60062	115 South LaSalle 19W Chicago, IL USA 60603	Vice-President
McGRATH, Christopher C. III	56 East 11th Street, Apt. Y New York, NY USA 10003	3 Times Square New York, NY USA 10036	Managing Director
McNITT, Peter W.	258 Ridge Winnetka, IL USA 60093	111 West Monroe, 10C Chicago, IL USA 60603	Executive Managing Director
McVETTY, Robert J.	2221 Palmer Ave. Apt. 1C New Rockelle, NY USA 10801	3 Times Square New York, NY USA 10036	Vice-President
McVEY, James Joseph	132 Lawrence Ave. Staten Island, NY USA 10310	1 First Canadian Place Toronto, Ontario M5X 1H3 Canada	Managing Director
MEYER, Timothy P.	301 Main Street Westport, CT USA 06880	3 Times Square New York, NY USA 10036	Managing Director
MOGLIA, James J.	825 West Shore Drive Kinnelon, NJ USA 07405	3 Times Square New York, NY USA 10036	Executive Managing Director
MOHAMMED, Neil	266 East 78 th St. 17 th floor New York, NY USA 10021-2078	3 Times Square New York, NY USA 10036	Vice-President
MORGAN, Headley Lloyd	1565 East 37 th St. Brooklyn, NY USA 11234	3 Times Square New York, NY USA 10036	Vice-President

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
MORRIS, Gregory Paul	1372 Crabapple Ct. Batoria, IL USA 60510	115 South LaSalle Street 20th Floor West Chicago, IL USA 60603	Vice-President
MOSER, William John	1120 Glencrest Dr. Inverness, IL USA 60010	115 South LaSalle Street 20th Floor West Chicago, IL USA 60603	Vice-President
MURPHY, Patrick J.	1223 Park Avenue River Forest, IL USA 60305	200 West Monroe 18th Floor Chicago, IL USA 60606	Vice-President Tax
NIEBRUGGE, Keith J.	6511 Cambridge Rd. Willowbrook, IL USA 60521	115 South LaSalle Street 13 W Chicago, IL USA 60603	Vice-President
NOLAN, Christian T.	760 West End Avenue Apt. 6E New York, NY USA 10025	3 Times Square New York, NY USA 10036	Vice-President
NOLAN, Robert B. (Jr.)	602 North Street Greenwich, CT USA 06830	3 Times Square New York, NY USA, 10036	Executive Managing Director
PAPPANO, John Robert	11900 N. Elma Avenue Elgin, IL USA 60120	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Vice-President
PHILLIPS, Jeffrey James	28533 Heritage Oak Road Barrington, IL USA 60010	115 South LaSalle St. 20th Floor West Chicago, IL USA 60603	Executive Managing Director
PRIOLEAU, Charlie	3514 Albans Houston, TX USA 77005	700 Louisiana Street Suite 4400 Houston, TX USA 77002	Executive Managing Director

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
RAMSDEN, Dan	83 Fitch Avenue Darien, CT USA 06820	3 Times Square New York, NY USA 10036	Managing Director
RIFFE, Kristi S.	33 Bright Ridge Drive Schaumburg, IL USA 60194	115 S. LaSalle Street Floor 13W Chicago, IL USA 60603	Vice-President
ROCHE, Mark	2732 Cheyenne Drive Naberville, IL USA 60565	115 South LaSalle St. 20th Floor West Chicago, IL USA 60603	Managing Director
RODMAN, Benjamin	427 9th St. Wilmette, IL USA 60091	111 West Monroe St. 20th Floor West Chicago, IL USA 60604	Managing Director
ROSE, Derek	428 South Wesley Ave. Oak Park, IL USA 60301	111 West Monroe St. 13W Chicago, IL USA 60603	Vice-President
ROTH, Elisabeth "Betsy"	643 West Fullerton Pkwy Unit 2 Chicago, IL USA 60614	111 West Monroe St. Floor 20E Chicago, IL USA 60603	Vice-President
RUTH, Christopher H.	955 Lexington Avenue New York, NY USA 10021	3 Times Square New York, NY USA 10036	Managing Director
RYAN, Christopher J.	50 Columbus Avenue Tuckahoe, NY USA 10707	3 Times Square New York, NY USA 10036	Vice-President
SCHNEIDER, William	451 Strey Lane Houston, TX USA 07078	700 Louisiana Street Suite 4400 Houston, TX USA 77002	Vice-President

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
SELPH, Diane	435 West Erie Street Suite 1106 Chicago, IL USA 60610	111 West Monroe St/ 20E Chicago, IL USA 60603	Vice-President
SHAFFER, Norman Stuart	110 Highland Avenue Short Hills, NJ USA 07078	3 Times Square New York, NY USA 10036	Managing Director
SILVA, Benjamin Jr.	365 Cedar Swamp Road Jackson, NJ USA 08527	3 Times Square New York, NY USA 10036	Vice-President
STANLEY, Geoffrey Douglas	396 Sound Beach Ave. Old Greenwich, CT USA 06870	3 Times Square New York, NY USA 10036	Managing Director
STEENBERGEN, Bart G.	604 Glenwood Lane Glenview, IL USA 60025	115 South LaSalle St. 13 th Floor West Chicago, IL USA 60603	Vice President
STODART, Eugene Robert	1111 Reddington Dr. Aurora, IL USA 60604	700 Louisiana St. Suite 4425 Houston, TX USA 77002	Managing Director
SYLVAN, Ian L.	375 Castlewood Lane Deerfield, IL USA 60015	111 West Monroe Floor 20E Chicago, IL USA 60603	Managing Director
TAYLOR, Jeffrey	49 North Bridgeview St. Palatine, IL USA 60067	111 West Monroe Floor 20E Chicago, IL USA 60603	Vice-President
THOMSON, William Arthur Ian	856 W. Buckingham Apt. 2W Chicago, IL USA 60657	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director

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BMO NESBITT BURNS CORP.
(as at February 27, 2002)

<u>Officers (who are not Directors)</u>	<u>Residential Address</u>	<u>Business Address</u>	<u>Position Held</u>
VITTON, Charles W.	266 Oak Ridge Ave. Summit, NJ USA 07901	3 Times Square New York, NY USA 10036	Managing Director
VITTON, Michael Stephen	16 Otter Rock Drive Greenwich, CT USA 06830	3 Times Square New York, NY USA 10036	Executive Managing Director
VON KREUTER, James	625 Washington Ave. Glencoe, IL USA 60022	115 South LaSalle St. 20 West Chicago, IL USA 60603	Vice-President
VORSTER, Susanne H.	111-09 76th Road Apt. E-1 Forest Hills, NY USA 11375	3 Times Square 28th Floor New York, NY USA 10036	Vice-President and Chief Financial Officer
WALSH, James	1716 Delogier Glenview, IL USA 60025	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
WALSH, Peter Edward	161 Copperwood Dr. Buffalo Grove, IL USA 60089	111 West Monroe St. 20th Floor East Chicago, IL USA 60604	Managing Director
WHITE, John M.	2914 Chiswell Houston, TX USA 77025	700 Louisiana St. Suite 4425 Houston, TX USA 77002	Managing Director
WITTSCHEN, Thomas	20 Monroe Plc. Brooklyn, NY USA 11201	3 Times Square New York, NY USA 10036	Managing Director