

# 2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Apr 03, 2003 8:00 am**  
**Secretary of State**

04-03-2003 90117 030 \*\*\*150.00

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**DOCUMENT # F96000001971**

1. Entity Name  
**SII INVESTMENTS, INC**



Principal Place of Business  
**5555 GRANDE MARKET DR  
APPLETON WI 54913**

Mailing Address  
**P O BOX 5097  
APPLETON WI 54912-5097  
US**



2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

4. FEI Number **39-1099262**

Applied For  
Not Applicable

Zip

Country

Zip

Country

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

**MAVRIDES, STEPHEN  
1451 W CYPRESS CREEK ROAD  
SUITE 300  
FORT LAUDERDALE FL 33309**

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  
After May 1, 2003 Fee will be \$550.00  
Make Check Payable to Florida Department of State**

9. Election Campaign Financing  
Trust Fund Contribution. ☐ **\$5.00 May Be Added to Fees**

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE **P** ☐ Delete  
NAME **JOHNSON, PETER M**  
STREET ADDRESS **5555 GRANDE MARKET DR**  
CITY-ST-ZIP **APPLETON WI 54913**

TITLE ☐ Change ☐ Addition  
NAME ☐ Change ☐ Addition  
STREET ADDRESS **See attached**  
CITY-ST-ZIP

TITLE **VP** ☐ Delete  
NAME **MILLER, JAMES P**  
STREET ADDRESS **5555 GRANDE MARKET DR**  
CITY-ST-ZIP **APPLETON WI 54913**

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

TITLE **D** ☐ Delete  
NAME **WELLS, MIKE**  
STREET ADDRESS **1 CORPORATE WAY**  
CITY-ST-ZIP **LANSING MI 48951**

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

TITLE **D** ☐ Delete  
NAME **SIMON, JIM**  
STREET ADDRESS **1 CORPORATE WAY**  
CITY-ST-ZIP **LANSING MI 48951**

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

TITLE **D** ☐ Delete  
NAME **HOPPING, ANDY**  
STREET ADDRESS **1 CORPORATE WAY**  
CITY-ST-ZIP **LANSING MI 48951**

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

TITLE **D** ☐ Delete  
NAME **CLIFFORD, JACK**  
STREET ADDRESS **1 CORPORATE WAY**  
CITY-ST-ZIP **LANSING MI 48951**

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

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

**SIGNATURE REQUIRED**  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

**3.31.03**

Date

**920-996-2600**

Daytime Phone #

CR2E034 (10/02)

Attachment 90069921  
SII INVESTMENTS, INC. # F96000001971

**List of Company Officers and Directors  
March 2003**

<b>Name/Title</b>	<b>Business Address</b>
Peter M. Johnson President/CEO	5555 Grande Market Drive, Appleton, WI 54913
James P. Miller SVP/COO/Secretary	5555 Grande Market Drive, Appleton, WI 54913
Mark M. Oswald VP/CCO	5555 Grande Market Drive, Appleton, WI 54913
David Collett SVP/CFO/Treasurer	401 Wilshire Blvd, Suite 1100, Santa Monica, CA 90401
Steven K. McGinnis SVP, Legal	401 Wilshire Blvd, Suite 1100, Santa Monica, CA 90401
Todd Kinart FVP, New Business Development	5555 Grande Market Drive, Appleton, WI 54913
Michael Tuma VP/Regional Director	5 East 2 <sup>nd</sup> Street, Chanute, KS 66720
Brian Carlson VP, Technology	5555 Grande Market Drive, Appleton, WI 54913
Jan Herman VP, Compliance	5555 Grande Market Drive, Appleton, WI 54913
Dawn Kalinowski VP, Operations	5555 Grande Market Drive, Appleton, WI 54913
Sue Witthuhn AVP, Project Coordinator	5555 Grande Market Drive, Appleton, WI 54913
Wendy Hansen AVP, Brokerage Operations	5555 Grande Market Drive, Appleton, WI 54913
Mike Wells Director	1 Corporate Way, Lansing, MI 48951
Jim Simon Director	1 Corporate Way, Lansing, MI 48951
Andy Hopping Director	1 Corporate Way, Lansing, MI 48951
Clifford Jack Director	1 Corporate Way, Lansing, MI 48951