

SECOND NOTICE: CORPORATION WILL BE DISSOLVED ON OR AFTER SEPTEMBER 17, 1997.  
AMOUNT DUE ON OR BEFORE 9/17/97: \$550 (IF DISSOLVED, MINIMUM AMOUNT DUE TO REINSTATE: \$750.)

PROFIT  
CORPORATION  
ANNUAL REPORT  
1997



FLORIDA DEPARTMENT OF STATE  
Sandra B. Mortham  
Secretary of State  
DIVISION OF CORPORATIONS

FILED  
Aug 07 1997 8:00am  
Secretary of State

DOCUMENT # F96000005346 (9)

1. Corporation Name

RODMAN & RENSHAW, INC.

Principal Place of Business

233 S. WACKER DR., #4500  
CHICAGO IL 60606

Mailing Address

233 S. WACKER DR., #4500  
CHICAGO IL 60606

DO NOT WRITE IN THIS SPACE

3. Date Incorporated or Qualified

3a. Date of Last Report

10/15/1996

4. FEI Number

Applied For

36-2679547

Not Applicable

5. Certificate of Status Desired

☐ \$8.75 Additional  
Fee Required

6. Election Campaign Financing  
Trust Fund Contribution

☐ \$5.00 May Be  
Added to Fees

8. This corporation owes or has paid the current year Intangible  
Personal Property Tax due June 30. ☐ Yes ☒ No

2. Principal Place of Business

21 Suite, Apt. #, etc.

22 City & State

23 Zip

24 Country

2a. Mailing Address

26 Suite, Apt. #, etc.

27 City & State

28 Zip

29 Country

9. Name and Address of Current Registered Agent

C T CORPORATION SYSTEM  
1200 SOUTH PINE ISLAND ROAD  
PLANTATION FL 33324

10. Name and Address of New Registered Agent

81 Name

82 Street Address (P.O. Box Number is Not Acceptable)

83

84 City

FL

85 Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

12. OFFICERS AND DIRECTORS

TITLE PDC ☐ DELETE  
NAME DAGGS, CHARLES W III  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

TITLE V ☐ DELETE  
NAME SHANAHAN, JOSEPH P III  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

TITLE S ☐ DELETE  
NAME OTT, GILBERT R JR  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

TITLE T ☐ DELETE  
NAME PEMBROKE, MARTIN G  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

TITLE D ☐ DELETE  
NAME BONEPARTH, PETER  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

TITLE D ☐ DELETE  
NAME PADILLA, RODRIGO  
STREET ADDRESS 233 S. WACKER DR., #4500  
CITY-ST-ZIP CHICAGO IL 60606

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

1.1 TITLE PDC ☒ Change ☐ Addition  
1.2 NAME SHANAHAN, JOSEPH P.  
1.3 STREET ADDRESS  
1.4 CITY-ST-ZIP

2.1 TITLE VD ☒ Change ☐ Addition  
2.2 NAME BORER, John J.  
2.3 STREET ADDRESS  
2.4 CITY-ST-ZIP

3.1 TITLE ☐ Change ☐ Addition  
3.2 NAME  
3.3 STREET ADDRESS  
3.4 CITY-ST-ZIP

4.1 TITLE T ☒ Change ☐ Addition  
4.2 NAME Pinou, Thomas G.  
4.3 STREET ADDRESS  
4.4 CITY-ST-ZIP

5.1 TITLE D ☒ Change ☐ Addition  
5.2 NAME F.L. Kirby  
5.3 STREET ADDRESS  
5.4 CITY-ST-ZIP

6.1 TITLE MD ☒ Change ☐ Addition  
6.2 NAME Ronald L. Altman  
6.3 STREET ADDRESS  
6.4 CITY-ST-ZIP

14. I do 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 annual report or supplemental annual 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 12 or Block 13 if changed, or on an attachment with an address.

SIGNATURE

7/30/97 212 416-7478

CR2E034 (4/97)