

# 2002 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Feb 19, 2002 8:00 am**  
**Secretary of State**

02-19-2002 90095 021 \*\*\*150.00

**DOCUMENT # F98000002630**

1. Entity Name

**RBC DAIN RAUSCHER INC.**

Principal Place of Business

**60 S. SIXTH ST.  
 MINNEAPOLIS MN 55402**

Mailing Address

**60 S. SIXTH ST.  
 MINNEAPOLIS MN 55402**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

**41-1416330**

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

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

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

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

(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

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEOP WEISER, IRVING 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CFOD APPEL, JOHN C 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VD TSCHETTER, RONALD A 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SEVP GRANT, PETER 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VD SPIKER, SCOTT J 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEOP WEISER, IRVING 60 S. SIXTH ST. MINNEAPOLIS MN 55402 <input type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	Please see attachment for a complete list officers and directors. <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	<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

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: *Bentley J. Anderson* (Bentley J. Anderson)

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

**1/31/02 (612) 371-7634**

CR2E034 (9/01)

80028680



DO NOT WRITE IN THIS SPACE

Attachment

00028680

# F9D000002630

**Attachment**

**DIRECTORS AND OFFICERS  
RBC DAIN RAUSCHER INC.  
(a Minnesota corporation)**

<u>Name</u>	<u>Title</u>	<u>Business Address</u>
Irving Weiser	Chief Executive Officer, Chairman and Director	60 South Sixth Street Minneapolis, MN 55402
John H. Goldsmith	Vice Chairman	60 South Sixth Street Minneapolis, MN 55402
Peter Armenio	President, Chief Operating Officer and Director	60 South Sixth Street Minneapolis, MN 55402
Lisa A. Ferris	Executive Vice President, Chief Financial Officer & Director	60 South Sixth Street Minneapolis, MN 55402
Peter M. Grant	Sr. Executive Vice President & Director	60 South Sixth Street Minneapolis, MN 55402
Charles E. Grose	Executive Vice President	60 South Sixth Street Minneapolis, MN 55402
Lawrence C. Holtz	Executive Vice President	60 South Sixth Street Minneapolis, MN 55402
Paula H. Phillippe	Executive Vice President	60 South Sixth Street Minneapolis, MN 55402
Carla J. Smith	Executive Vice President & Secretary	60 South Sixth Street Minneapolis, MN 55402
Bentley J. Anderson	Assistant Secretary	60 South Sixth Street Minneapolis, MN 55402