

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Jul 25, 2001 8:00 am
Secretary of State

07-25-2001 90002 041 ***150.00

DOCUMENT # P02782

1. Entity Name

NORTHERN TRUST SECURITIES, INC.



Principal Place of Business

Mailing Address

**50 S. LASALLE ST
 12TH FLOOR
 CHICAGO, IL 60675
 US**

**50 S LASALLE ST
 12TH FLOOR
 CHICAGO, IL 60675
 US**

A0079460

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

DO NOT WRITE IN THIS SPACE

City & State

City & State

4. FEI Number

36-3010241

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

**CT CORPORATION SYSTEM
 1200 S. 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, 2001 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	PD WENNLUND, LLOYD A 50 S LASALLE ST CHICAGO, IL 60675	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	DV NICKEL, DAVID K 50 S LASALLE ST CHICAGO, IL 60675	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	V MARRELLO, RAYMOND J 50 S LASALLE CHICAGO, IL 60675	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S JANOVSKY, BRUCE C 50 S LASALLE ST CHICAGO, IL 60675	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	V MEADE, CHRISTOPHER H 50 S LASALLE ST CHICAGO, IL 60675	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP		<input type="checkbox"/> Delete

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	S Kempers, David S 50 South LaSalle Street Chicago, IL 60675	<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: *David Kempers / David Kempers*
 SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

2/13/01 **312/557-1981**
 Date Daytime Phone #

CR20034 (1/1/00)

Northern Trust Securities, Inc.
50 South La Salle Street
Chicago, Illinois 60675
(312) 557-2000

Attachment
A0079460



Northern Trust

Doc #

9 02782

July 13, 2001

Division of Corporations
Uniform Business Report Filings
P.O. Box 1500
Tallahassee, FL 32302-1500

Dear Sirs:

I received in the mail on July 10 a notice stating that our uniform business report and fee (Document # P02782) were not properly filed for 2001. Our report and fee were originally filed on February 13. A phone call to your office confirmed that neither the report nor fee was received despite being mailed well in advance of the May 1 deadline. Your office suggested that our filing was possibly lost in the mail and that I should check with our bank to see if the original check was outstanding. Our bank has confirmed that the original check is outstanding.

Please find attached a copy of our uniform business report signed and dated February 13 as well as our original check for \$150.00 dated January 17. I have placed a stop payment on the original check and have included a replacement check for \$150.00 dated July 12.

I respectfully request that our corporation be administratively reinstated in good standing and that any penalty and reinstatement fees be waived given that our initial filing was placed well in advance of the original May 1 deadline.

Thank you for your attention to this matter. If I can be of any further assistance please feel free to call me at 312-557-2056.

Sincerely,

Timothy J. Salata
Vice President / CFO