

**2001 UNIFORM BUSINESS REPORT (UBR)**

**FILED**  
**May 16, 2001 8:00 am**  
**Secretary of State**

05-16-2001 90198 035 \*\*\*150.00

**DOCUMENT # 823791**

1. Entity Name  
**PAINWEBBER INCORPORATED**

Principal Place of Business <b>% TAX DEPARTMENT, 9TH FLOOR          1000 HARBOR BLVD          WEEHAWKEN NJ 07087</b>	Mailing Address <b>% TAX DEPARTMENT, 9TH FLOOR          1000 HARBOR BLVD          WEEHAWKEN NJ 07087</b>
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DO NOT WRITE IN THIS SPACE

2. Principal Place of Business		3. Mailing Address		4. FEI Number <b>13-2638166</b>		Applied For	
Suite, Apt. #, etc.		Suite, Apt. #, etc.				Not Applicable	
City & State		City & State		5. Certificate of Status Desired <input type="checkbox"/>		<b>\$8.75</b> Additional Fee Required	
Zip	Country	Zip	Country				

6. Name and Address of Current Registered Agent				7. Name and Address of New Registered Agent			
<b>CORPORATION SERVICE COMPANY          1201 HAYS STREET          TALLAHASSEE FL 32301</b>				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 \_\_\_\_\_ DATE \_\_\_\_\_  
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so. (See criteria on back) <input type="checkbox"/>	<b>FILE NOW!!! FEE IS \$150.00</b> <b>After MAY 1, 2001 Fee will be \$550.00</b> <b>Make Check Payable to Department of State</b>	10. Election Campaign Financing Trust Fund Contribution. <input type="checkbox"/> <b>\$5.00</b> May Be Added to Fees
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11. OFFICERS AND DIRECTORS			12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11		
TITLE	<b>SVP</b>	<input type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>LEVINE, KENNETH</b>		NAME		
STREET ADDRESS	<b>1000 HARBOR BLVD.</b>		STREET ADDRESS		
CITY-ST-ZIP	<b>WEEHAWKEN NJ 07087</b>		CITY-ST-ZIP		
TITLE	<b>D</b>	<input checked="" type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>ALEXANDER, MARGO N.</b>		NAME		
STREET ADDRESS	<b>1000 HARBOR BLVD</b>		STREET ADDRESS		
CITY-ST-ZIP	<b>WEEHAWKEN NJ 07087</b>		CITY-ST-ZIP		
TITLE	<b>P</b>	<input type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>GRANO, JOSEPH</b>		NAME		
STREET ADDRESS	<b>1000 HARBOR BLVD 9TH FL</b>		STREET ADDRESS		
CITY-ST-ZIP	<b>WEEHAWKEN NJ</b>		CITY-ST-ZIP		
TITLE	<b>V</b>	<input type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>BAUM, STEVEN P.</b>		NAME		
STREET ADDRESS	<b>1000 HARBOR BLVD 9TH FL</b>		STREET ADDRESS		
CITY-ST-ZIP	<b>WEEHAWKEN NJ 07087</b>		CITY-ST-ZIP		
TITLE	<b>V</b>	<input type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME	<b>SILVER, ROBERT H.</b>		NAME		
STREET ADDRESS	<b>1000 HARBOR BLVD 9TH FL</b>		STREET ADDRESS		
CITY-ST-ZIP	<b>WEEHAWKEN NJ 07087</b>		CITY-ST-ZIP		
TITLE		<input type="checkbox"/> Delete	TITLE		<input type="checkbox"/> Change <input type="checkbox"/> Addition
NAME			NAME		
STREET ADDRESS			STREET ADDRESS		
CITY-ST-ZIP			CITY-ST-ZIP		

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: *Kenneth Levine Sr. VP* Date: 4/25/01 Daytime Phone #: 201-352-0559  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

CR2E034 (10/00)



Doc # 823791  
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UBS PaineWebber Inc.  
Tax Department, 9<sup>th</sup> Floor  
1000 Harbor Boulevard  
Weehawken, NJ 07087  
201-352-4418  
201-352-2443 fax  
ubspainewebber.com

## Officers & Directors Report

### Officers

Donald B. Marron	Chairman & Chief Executive Officer	1000 Harbor Boulevard, Weehawken, NJ 07087
Joseph J. Grano, Jr.	President	1000 Harbor Boulevard, Weehawken, NJ 07087
Scott G. Abbey	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Terry L. Atkinson	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Steven P. Baum	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
John Braniff	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Barry J. Buchsbaum	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Hale E. Cullom, Jr.	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Michael Anthony Davis	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Anthony M. Dilorio	Executive Vice President & Controller	1000 Harbor Boulevard, Weehawken, NJ 07087
Regina A. Dolan	Executive Vice President & Chief Administrative Officer	1000 Harbor Boulevard, Weehawken, NJ 07087
Robert Donato	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Jerome T. Fadden	Executive Vice President, Chief Financial Officer, Treasurer & Assistant Secretary	1000 Harbor Boulevard, Weehawken, NJ 07087
Diane Frimmel	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Marten S. Hoekstra	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Herbert F. Janick III	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Theodore M. Johnson	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
William F. Kennedy	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Frank A. Lenti	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Theodore A. Levine	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Matthew Levitan	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
James P. MacGilvray	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Charles H. Nobs	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Hugh J. O'Hare	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Dongwook Park	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Robert H. Silver	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
J. Richard Sipes	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Brian Storms	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Mark B. Sutton	Executive Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087
Robert J. Chersi	Senior Vice President & Controller	1000 Harbor Boulevard, Weehawken, NJ 07087
Geraldine L. Banyai	Corporate Vice President & Secretary	1000 Harbor Boulevard, Weehawken, NJ 07087
Richard Borovoy	Assistant Secretary	1000 Harbor Boulevard, Weehawken, NJ 07087
Kenneth Levine	Senior Vice President	1000 Harbor Boulevard, Weehawken, NJ 07087

### Directors

Terry L. Atkinson	1000 Harbor Boulevard, Weehawken, NJ 07087
Steven P. Baum	1000 Harbor Boulevard, Weehawken, NJ 07087
Regina A. Dolan	1000 Harbor Boulevard, Weehawken, NJ 07087
Joseph J. Grano, Jr.	1000 Harbor Boulevard, Weehawken, NJ 07087
James P. MacGilvray	1000 Harbor Boulevard, Weehawken, NJ 07087
Donald B. Marron	1000 Harbor Boulevard, Weehawken, NJ 07087
Robert H. Silver	1000 Harbor Boulevard, Weehawken, NJ 07087
Mark B. Sutton	1000 Harbor Boulevard, Weehawken, NJ 07087

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UBS PAINWEBBER INC.

\* 1000 Harbor Boulevard \* Tax Department 9th Floor \* Weehawken, NJ 07087 \*

CERTIFIED MAIL #: \_\_\_\_\_

04/18/01

DEPT OF STATE  
DIV OF CORPS/ANN. RPT FILINGS  
P.O. BOX 1500  
TALLAHASSEE , FL 32302-1500

Re: PaineWebber Incorporated  
Fein: 13-2638166

Gentlemen:

On behalf of the above captioned company, we are enclosing the following return:

ANNUAL REPORT

Enclosed also is a check in the amount of \$ 150.00 in payment of the indicated liability.

Should you have any questions regarding this filing please feel free to contact State Tax Manager, Louis DeVico at (201) 352-0559.

Very truly yours,



Lynn Muggelberg