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Mar 27 1997 8:00am
Secretary of State

PROFIT
CORPORATION
ANNUAL REPORT
1997



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

DOCUMENT # 837639

(4)

1. Corporation Name:
ADVEST, INC.



Principal Place of Business:
90 STATE HOUSE SQUARE
HARTFORD CT 06103

Mailing Address:
90 STATE HOUSE SQUARE
HARTFORD CT 06103-3702

3. Date Incorporated or Qualified 12/30/1976	3a. Date of Last Report 05/01/1996
4. FEI Number 06-0950348	Applied For 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 has liability for intangible tax under s. 199.032 Florida Statutes ☒ Yes ☐ No	

2. Principal Place of Business:

2a. Mailing Address:

21 Suite, Apt. #, etc.

26 Suite, Apt. #, etc.

22 City & State:

27 City & State:

23 Zip: Country:

28 Zip: Country:

24

29 30

9. Name and Address of Current Registered Agent

10. Name and Address of New Registered Agent

CORPORATION SERVICE COMPANY
1201 HAYES STREET
TALLAHASSEE FL 32301

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:

(NOTE: Registered Agent signature required when reappointing)

DATE:

12. OFFICERS AND DIRECTORS		13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12	
TITLE	P ☐ DELETE	1.1 TITLE	☐ Change ☐ Addition
NAME	WEINTRAUB, ALLEN	1.2 NAME	(SEE ATTACHED LIST)
STREET ADDRESS	90 STATE HOUSE SQUARE	1.3 STREET ADDRESS	
CITY - ST - ZIP	HARTFORD CT 06103	1.4 CITY - ST - ZIP	☐ Change ☐ Addition
TITLE	ASO ☐ DELETE	2.1 TITLE	☐ Change ☐ Addition
NAME	BARBER, THOMAS C.	2.2 NAME	
STREET ADDRESS	90 STATE HOUSE SQUARE	2.3 STREET ADDRESS	
CITY - ST - ZIP	HARTFORD CT 06103	2.4 CITY - ST - ZIP	☐ Change ☐ Addition
TITLE	EV ☐ DELETE	3.1 TITLE	☐ Change ☐ Addition
NAME	BOUJOUKOS, GEORGE A.	3.2 NAME	
STREET ADDRESS	40 RECTOR STREET	3.3 STREET ADDRESS	
CITY - ST - ZIP	NEW YORK NY	3.4 CITY - ST - ZIP	☐ Change ☐ Addition
TITLE	SVD ☐ DELETE	4.1 TITLE	☐ Change ☐ Addition
NAME	BOTWINICK, ALLEN G.	4.2 NAME	
STREET ADDRESS	90 STATE HOUSE SQUARE	4.3 STREET ADDRESS	
CITY - ST - ZIP	HARTFORD CT 06103	4.4 CITY - ST - ZIP	☐ Change ☐ Addition
TITLE	VSD ☐ DELETE	5.1 TITLE	☐ Change ☐ Addition
NAME	KUCKRO, LEE G.	5.2 NAME	
STREET ADDRESS	90 STATE HOUSE SQUARE	5.3 STREET ADDRESS	
CITY - ST - ZIP	HARTFORD CT 06103	5.4 CITY - ST - ZIP	☐ Change ☐ Addition
TITLE	D ☐ DELETE	6.1 TITLE	☐ Change ☐ Addition
NAME	BRANDON, JEFFREY A.	6.2 NAME	
STREET ADDRESS	90 STATE HOUSE SQUARE	6.3 STREET ADDRESS	
CITY - ST - ZIP	HARTFORD CT 06103	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: *Lee G. Kuckro* 3/12/97 (860) 509-1000
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

CR2E034 (9/96)

ADVEST, INC.

1997 DIRECTORS & OFFICERS

<u>NAME & TITLE</u>	<u>RESIDENCE ADDRESS</u>	<u>BUSINESS ADDRESS</u>
Thomas C. Barber Assistant Secretary (044-34-6783) DOB - 12/3/45	51 Standard Street Newington, CT 06111	90 State House Square Hartford, CT 06103
Murray Beach Sr. VP & Director (188-36-9843) DOB - 4/25/54	46 Mary Catherine Circle Windsor, CT	90 State House Square Hartford, CT 06103
Allen G. Botwinick Executive VP & Director (041-32-9719) DOB - 3/6/43	4 Stratford Road Farmington, CT 06032	90 State House Square Hartford, CT 06103
Donna Sawan Asst. Secretary (126-46-1950) DOB - 1/15/57	175 East Hampton Road Marlborough, CT 06447	90 State House Square Hartford, CT 06103
George A. Boujoukos Exec. VP & Director (014-26-6829) DOB - 9/13/34	25 Riding Club Road Wilton, CT 06897	40 Rector Street New York, NY 10006
Harold H. Branning Exec. VP- Nat'l Sales Director (107-38-4943) DOB - 5/26/51	51 Palisade Terrace Glastonbury, CT 06033	90 State House Square Hartford, CT 06103
Jeffrey A. Brandon Director (269-40-1912) DOB - 8/31/44	4 Pheasant Lane West Hartford, CT 06117	90 State House Square Hartford, CT 06103

Donald J. Cristo
Director
(046-34-4742)
DOB - 12/14/44

35 Woodhaven Drive
Simsbury, CT 06070

22 Waterville Road
Avon, CT 06001

Edward Fernberger, Jr.
Director
(198-36-0222)
DOB - 12/15/48

8133 Washington Lane
Wyncote, PA 19095

Benjamin Fox Pavilion
Jenkintown, PA 19103

Allan M. Fink
Director
(059-30-3511)
DOB - 11/6/38

315 Wychwood Road
Westfield, NJ 07090

12 East 49th Street
New York, NY 10017

Robert Fogliano
First VP
(113-38-1032)
DOB - 3/31/46

28 Doherty Drive
Middletown, NJ 07748

40 Rector Street
New York, NY 10006

William C. Freitag
Vice President
(094-40-0574)
DOB - 4/3/51

1450 Allen Court
Cheshire, CT 06410

90 State House Square
Hartford, CT 06103

John Giesea
Director
(562-54-7143)
DOB - 3/3/44

6 North Farms Road
Avon, CT 06001

90 State House Square
Hartford, CT 06103

Gerald A. Guild
Director
(050-30-2658)
DOB - 7/29/38

20 Blackburn Place
Summit, NJ 07901

40 Rector Street
New York, NY 10006

Stephen Hampton
Director
(102-36-7651)
DOB - 9/29/45

68 Blackburn Lane
Manhasset, NY 11030

40 Rector Street
New York, NY 10006

Nicholas G. Hano
VP- NYSE
(180-30-3563)
DOB - 2/7/35

R.D. #2
Newton, PA 18940

40 Rector Street
New York, NY 10006

David A. Horowitz
Asst Secretary & VP
(090-50-2458)
DOB - 11/10/56

6 Hyer Drive
Simsbury, CT 06070

90 State House Square
Hartford, CT 06103

James Keim Director (189-28-7825) DOB - 4/19/38	1530 Taylor Ridge CT Eerie, PA 16505	300 State Street Suite 101 Eerie, PA 16507
John A. King Assistant Treasurer (021-30-1915) DOB - 4/4/39	17 Christmas Tree Hill Canton, CT 06019	90 State House Square Hartford, CT 06103
Cornelius Koun Director		12 East 49th Street New York, NY 10017
Lee G. Kuckro Sr. VP/Secretary & Director (046-32-9111) DOB - 6/9/41	471 Main Street Wethersfield, CT 06109	90 State House Square Hartford, CT 06103
Grant W. Kurtz President & Director (384-46-4415) DOB - 1/19/42	26 Daventry Hill Avon, CT 06001	90 State House Square Hartford, CT 06103
Martin M. Lilienthal Sr. VP & CFO Treasurer & Director (048-32-7611) DOB - 5/10/42	150 Tulip Drive Meriden, CT 06450	90 State House Square Hartford, CT 06103
Ronald Maggiacomo VP - Investments (035-28-2576) DOB - 9/27/42	579 Weir Road Glastonbury, CT 06033	90 State House Square Hartford, CT 06103
Daniel McAuliffe Asst. Secretary (097-36-1399) DOB - 9/5/46	19-A2 Lakeshore Apts. Farmington, CT 06032	90 State House Square Hartford, CT 06103
Howard Merriman, Jr. Director (035-24-6527) DOB - 12/20/33	99 President Avenue Providence, RI 02906	630 Hospital Trust Providence, RI 02903
Paul Nussbaum Director (190-24-5116) DOB - 2/01/29	825 Moorewood Avenue Pittsburg, PA 15217	One Oxford Center Pittsburg, PA 15219

William J. O'Hagan
VP - NYSE
(120-26-2192)
DOB - 11/30/34

124 Parrott Place
Brooklyn, NY

40 Rector Street
New York, NY 10006

Warren Pavlik
Asst. Secretary
(104-26-2129)
DOB - 9/20/32

22 Billings Place
Brooklyn, NY

40 Rector Street
New York, NY 10006

James Pfeffer
Sr. VP - public Finance &
Director
(266-92-9833)
DOB - 5/24/51

10 Meigs Lane
Essex, CT 06426

90 State House Square
Hartford, CT 06103

Richard E. Ryall
Director
(024-34-5989)
DOB - 10/31/45

133 Colony Road
Longmeadow, MA 01106

1441 Main Street
Springfield, MA 01103

Jay Salkin
Director
(216-36-4805)
DOB - 6/12/39

3315 Midfield Road
Baltimore, MD 21208

110 Heaver Plaza
Lutherville, MD 21093

Jack Shaughnessy
Director
(026-22-6529)
DOB - 2/1/32

53 Sylvan Road, North
Westport, CT 06880

90 State House Square
Hartford, CT 06103

Philip M. Skidmore
Group VP-Investments &
Director
(262-66-1122)
DOB - 6/6/40

77 Indian Head Road
Riverside, CT 06878

90 State House Square
Hartford, CT 06103

Paul Skydell
Director
(083-38-6827)
DOB - 7/13/57

30 Fiddlers Green Drive
Lloyd Neck, NY 11743

2 Jericho Plaza
Jericho, NY 11753

Ernest R. Smith
Director

90 State House Square
Hartford, CT 06103

Bernard A.G. Taradash
Director

958 Neck Road
Tiveston, RI 02332

386 High Street
Fall River, MA 02722

(031-24-4436)
DOB - 2/25/32

Raymond T. Waller
Director
(228-14-4375)
DOB - 8/23/19

8107 University Drive
Richmond, VA 23229

600 Paragon Place
Richmond, VA 23230

Allen Weintraub
CEO/ Chairman & Director
(141-26-7661)
DOB - 5/14/35

3 Quail Hollow
West Hartford, CT 06117

90 State House Square
Hartford, CT 06103