

# 2000 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Feb 16, 2000 8:00 am**  
**Secretary of State**

02-16-2000 90055 050 \*\*\*150.00

**DOCUMENT # 837639**

1. Entity Name

**ADVEST, INC.**

Principal Place of Business

Mailing Address

AUDRA L. CHARETTE  
 STATE HOUSE SQUARE  
 CT 06103

ATTN: AUDRA L. CHARETTE  
 90 STATE HOUSE SQUARE  
 HARTFORD CT 06103-3708

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

**06-0950348**

Applied For

Not Applicable

5. Certificate of Status Desired ☐

**\$8.75 Additional  
 Fee Required**

6. Name and Address of Current Registered Agent

**CORPORATION SERVICE COMPANY  
 1201 HAYES STREET  
 TALLAHASSEE FL 32301**

7. Name and Address of New Registered Agent

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, 2000 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	P WEINTRAUB, ALLEN 90 STATE HOUSE SQUARE HARTFORD CT 06103	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	ASO. BARBER, THOMAS C. 90 STATE HOUSE SQUARE HARTFORD CT 06103	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EV BOUJOUKOS, GEORGE A. 40 RECTOR STREET NEW YORK NY	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVD. BOTWINICK, ALLEN G. 90 STATE HOUSE SQUARE HARTFORD CT 06103	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VSD KUCKRO, LEE G 90 STATE HOUSE SQUARE HARTFORD CT 06103	<input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D KURTZ, GRANT W 90 STATE HOUSE SQ HARTFORD CT 06103	<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	<input checked="" 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 checked="" type="checkbox"/> Change <input type="checkbox"/> Addition

*See Attached Sheets*

*SEVD*

*EVD*

*P/CEO/C/D*

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:

*Lee Kuckro*  
 SECRETARY

*2/2/00*  
 Date

*860-509-1000*  
 Daytime Phone #

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

CR2E034 (9/99)

837639

614851

**Advest, Inc.**

**Officers & Directors**

Effective 1/27/2000

**Officers:**

Grant W. Kurtz  
President, Chief Executive Officer & Chairman of the Board

90 State House Square  
Hartford, CT 06103

George A. Boujoukos  
Senior Executive VP & Director Capital Markets

40 Rector Street  
New York, NY 10006

Harold H. Branning  
Senior Executive VP & Director Private Client Group

90 State House Square  
Hartford, CT 06103

John C. Giesea  
Senior Executive VP & Director Equity Capital Markets

90 State House Square  
Hartford, CT 06103

Allen G. Botwinick  
Executive Vice President of Administration & Operations

90 State House Square  
Hartford, CT 06103

Lee G. Kuckro  
Executive Vice President, Secretary and General Counsel

90 State House Square  
Hartford, CT 06103

Martin M. Lilienthal  
Executive Vice President & Chief Financial Officer

90 State House Square  
Hartford, CT 06103

Daniel J. Mullane  
Executive Vice President & National Sales Manager

100 Federal Street  
Boston, MA 02110

Eleanor Etter  
Senior Vice President & Director of Marketing &  
Affluent Business Development

90 State House Square  
Hartford, CT 06103

Gay B. Foster  
Senior Vice President of Branch Administration

90 State House Square  
Hartford, CT 06103

Robert A. Fogliano  
Senior Vice President

40 Rector Street  
New York, NY 10006

Bernard T. Gacona  
Senior Vice President & Director of Insurance & Mutual Funds

90 State House Square  
Hartford, CT 06103

David A. Horowitz  
Senior Vice President, Asst. Secretary & Asst. General Counsel

90 State House Square  
Hartford, CT 06103

Kenneth S. Hyne  
Senior Vice President & Director of Investment Management

90 State House Square  
Hartford, CT 06103

James R. Orvis  
Senior Vice President & Director of Operations

90 State House Square  
Hartford, CT 06103

11:22 AM  
01/31/00

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## Advest, Inc.

## Officers &amp; Directors

Robert W. Rulevich Senior Vice President & Director of Human Resources	90 State House Square Hartford, CT 06103
Donna L. Sawan Senior Vice President, Treasurer & Assistant Secretary	90 State House Square Hartford, CT 06103
Ernest R. Smith Senior Vice President & Director of Information Service	90 State House Square Hartford, CT 06103
Mary S. Block Vice President & Supervisory Compliance Officer	90 State House Square Hartford, CT 06103
Chris Drucker Vice President of New York Stock Exchange Operations	40 Rector Street New York, NY 10006
William C. Freitag Vice President & Assistant General Counsel	90 State House Square Hartford, CT 06103
Nicholas G. Hano Vice President of New York Stock Exchange	40 Rector Street New York, NY 10006
Robert T. Keane, Jr. Vice President of Corporate Syndicate	90 State House Square Hartford, CT 06103
Daniel F. McAuliffe Vice President & Chief Compliance Officer	90 State House Square Hartford, CT 06103
Ronald B. Maggiacomo Vice President of Direct Investments	90 State House Square Hartford, CT 06103
Lawrence F. McIntosh Vice President & Supervisory Compliance Officer	90 State House Square Hartford, CT 06103
Laurie Andrews Assistant Secretary	90 State House Square Hartford, CT 06103
John A. King Assistant Secretary	90 State House Square Hartford, CT 06103
Warren F. Pavlik Assistant Secretary	40 Rector Street New York, NY 10006
James B. Fellus Senior Managing Director Of Institutional Taxable Bond Division	40 Rector Street New York, NY 10006
Stephen M. Hampton	40 Rector Street

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## Advest, Inc.

## Officers &amp; Directors

Senior Managing Director of Municipal Division	New York, NY 10006
Michael T. Mayes Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Philip M. Skidmore Senior Managing Director of Syndicate	40 Rector Street New York, NY 10006
Jeffrey G. Barlow Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Alexander M. Clark Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Rex H. Green Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Douglas McConnell Managing Director of Investment Banking	311 S. Wacker Drive Suite 2250 Chicago, IL 60606
Allan L. Nadler Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Thomas G. Rudkin Managing Director of Investment Banking	90 State House Square Hartford, CT 06103
Andrew M. Sadosky Managing Director of Investment Banking	One Rockefeller Plaza New York, NY 10020
Joseph Blair Managing Director of Public Finance	100 Federal Street 29 <sup>th</sup> Floor Boston, MA 02110
D. Scott Gibson Managing Director of Public Finance	90 State House Square Hartford, CT 06103
David I. Weprin Managing Director of Public Finance	90 State House Square Hartford, CT 06103
George Bevis Managing Director of Institutional Sales and Sales Trading	One Rockefeller Plaza New York, NY 10020
Kristen K. Wold Associate Managing Director of Equity Capital Markets	90 State House Square Hartford, CT 06103
Laura M. Amoroso	One Rockefeller Plaza

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## Advest, Inc.

## Officers &amp; Directors

Assistant Director of Research

New York, NY 10020

Directors (please see address above) :

Allen G. Botwinik  
George Boujoukos  
Harry H. Branning  
Eleanor Etter  
Gay B. Foster

John C. Giese  
Kenneth S. Hyne  
Lee G. Kuckro  
Grant W. Kurtz  
Martin M. Lilienthal

Michael T. Mayes  
Daniel T. Mullane  
Donna L. Sawan  
Philip M. Skidmore  
Ernest R. Smith

William R. Burns  
Director

90 State House Square  
Hartford, CT 06103

Harry H. Canavesi  
Director

300 State Street  
Erie, PA 16507

Donald J. Cristo  
Director

17 West Main Street  
Avon, CT 06001

Kevin M. Donnelly  
Director

1515 South Federal Highway  
Boca Raton, FL 33432

James B. Fellus  
Director

40 Rector Street  
New York, NY 10006

Edward Fernberger, Jr.  
Director

Benjamin Fox Pavillion  
Jenkintown, PA 19103

Allan M. Fink  
Director

12 East 49<sup>th</sup> Street  
New York, NY 10001

Stephen Hampton  
Director

40 Rector Street  
New York, NY 10006

Garry L. Hogan  
Director

3300 One Oxford Center  
Aliquippa, PA 15001

Judith A. Johnson  
Director

Middlesex Corp. Center  
213 Court St., Suite 605  
Middletown, CT 06457

James Keim, Jr.  
Director

300 State Street  
Erie, PA 16507

Robert D. Meyers  
Director

250 E. Broad Street, 12<sup>th</sup> Floor  
Columbus, OH 43215

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## Advest, Inc.

## Officers &amp; Directors

Steven M. Nussbaum  
Director

10 Sasco Hill Road  
Fairfield, CT 06430

James R. Orvis  
Director

90 State House Square  
Hartford, CT 06103

James M. Pucci  
Director

90 Crystal Run Road  
Middletown, NY 10940

Richard E. Ryall  
Director

1441 Main Street  
Springfield, MA

Jay M. Salkin  
Director

110 Heaver Plaza  
Lutherville, MD

John H. Shaughnessy  
Director

100 Federal Street  
Boston, MA 02110

Paul Skydell  
Director

2 Jericho Plaza  
Jericho, NY 11753

Bernard A.G. Taradash  
Director

386 High Street  
Fall River, MA 02722

Doran Young  
Director

One Rockefeller Plaza  
New York, NY 10020

Chris Wilkinson  
Director

90 State House Square  
Hartford, CT 06103