

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
Feb 01, 2002 8:00 am
Secretary of State

02-01-2002 90044 001 ***150.00

1570763 AT

DOCUMENT # 837639

1. Entity Name
ADVEST, INC.

Principal Place of Business

**ATTN: CHERYL GORHAM
 90 STATE HOUSE SQUARE
 HARTFORD CT 06103**

Mailing Address

**ATTN: CHERYL GORHAM
 90 STATE HOUSE SQUARE
 HARTFORD CT 06103**

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

DO NOT WRITE IN THIS SPACE

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, 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

TITLE **SEV** ☐ Delete
 NAME **BOUJOUKOS, GEORGE A.**
 STREET ADDRESS **40 RECTOR STREET**
 CITY-ST-ZIP **NEW YORK NY**

TITLE **EVD** ☐ Delete
 NAME **BOTWINICK, ALLEN G.**
 STREET ADDRESS **90 STATE HOUSE SQUARE**
 CITY-ST-ZIP **HARTFORD CT 06103**

TITLE **VSD** ☐ Delete
 NAME **KUCKRO, LEE G**
 STREET ADDRESS **90 STATE HOUSE SQUARE**
 CITY-ST-ZIP **HARTFORD CT 06103**

TITLE **PCED** ☐ Delete
 NAME **KURTZ, GRANT W**
 STREET ADDRESS **90 STATE HOUSE SQ**
 CITY-ST-ZIP **HARTFORD CT 06103**

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Delete
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP
Please See Attached
Sheet for All OGD

TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
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TITLE ☐ Change ☐ Addition
 NAME
 STREET ADDRESS
 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:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Lee G. Kuckro

Date

1-4-02

Daytime Phone #

860-509-1000

CR2E034 (9/01)

Attachment
Doc # 037639

Advest, Inc.

304250

Officers & Directors

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
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
Kyle (K.C.) Burns Senior Vice President, Director of Human Resources	90 State House Square Hartford, CT 06103
Daniel J. Mullane Executive Vice President & Director of Private Client Group	100 Federal Street Boston, MA 02110
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
James R. Orvis Senior Vice President & Director of Operations	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
Thomas Byrne Vice President & Assistant General Counsel	90 State House Square Hartford, CT 06103

11:01 AM
01/15/02

ATTACHMENT #837639

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Officers & Directors

Chris Drucker Vice President of New York Stock Exchange Operations	40 Rector Street New York, NY 10006
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
William C. Freitag Senior 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
Anthony Morgan Vice President & Senior Registered Options Principal	40 Rector Street New York, NY 10006
Philip Wellman Vice President & Assistant General Counsel	90 State House Square Hartford, CT 06103
Kristen K. Wold Vice President of Human Resources Administration	90 State House Square Hartford, CT 06103
Laurie Andrews Assistant Secretary	90 State House Square Hartford, CT 06103
Warren F. Pavlik Assistant Secretary	40 Rector Street New York, NY 10006
James P. Jenkins Senior Managing Director and Head of Investment Banking	One Rockefeller Plaza New York, NY 10020
James B. Fellus Senior Managing Director Of Institutional Taxable Bond Division	40 Rector Street New York, NY 10006
Stephen M. Hampton Senior Managing Director of Municipal Division	40 Rector Street 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

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Officers & Directors

George Bevis
Managing Director of Institutional Sales and Sales Trading

One Rockefeller Plaza
New York, NY 10020

Alexander M. Clark
Managing Director of Investment Banking

90 State House Square
Hartford, CT 06103

Frank A. Klepetko
Managing Director of Investment Banking

One Rockefeller Plaza
New York, NY 10020

Joseph Blair
Managing Director of Public Finance

100 Federal Street
29th Floor

D. Scott Gibson
Managing Director of Public Finance

90 State House Square
Hartford, CT 06103

James E. Barrett
Director of Research

One Rockefeller Plaza
New York, NY 10020

Robert F. Olsen
Co-manager of NASDAQ Trading

90 State House Square
Hartford, CT 06103

Robert T. Mikkelsen
Co-manager of NASDAQ Trading

One Rockefeller Plaza
New York, NY 10020

Directors (please see address above):

James E. Barrett
George M. Bevis
Allen G. Botwinik
George Boujoukos
Gay B. Foster
Bernard T. Gacona

James P. Jenkins
Lee G. Kuckro
Grant W. Kurtz
Martin M. Lilienthal
Michael T. Mayes

Robert T. Mikkelsen
Daniel J. Mullane
Robert F. Olsen
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

James B. Fellus
Director

40 Rector Street
New York, NY 10006

Edward Fernberger, Jr.

Benjamin Fox Pavillion

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Officers & Directors

Director	Jenkintown, PA 19103
Allan M. Fink Director	12 East 49 th 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. McCann Director	Middlesex Corp. Center 213 Court St., Suite 605 Middletown, CT 06457
James Keim, Jr. Director	300 State Street Erie, PA 16507
Alexandra Lebenthal Director	120 Broadway New York, NY 10271-0005
Robert D. Meyers Director	250 E. Broad Street, 12 th Floor Columbus, OH 43215
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 H. Salkin Director	1301 York Road Lutherville, MD 21093
Paul Skydell Director	2 Jericho Plaza Jericho, NY 11753
Bernard A.G. Taradash Director	386 High Street Fall River, MA 02722
Allen Weintraub Director	90 State House Square Hartford, CT 06103

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Officers & Directors

Doran Young
Director

One Rockefeller Plaza
New York, NY 10020

Michael J. Vogelzang
Director

100 Federal Street
Boston, MA 02110

Chris Wilkinson
Director

90 State House Square
Hartford, CT 06103