

2002 UNIFORM BUSINESS REPORT (UBR)

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

02-01-2002 90044 001 ***150.00

157376 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
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DO NOT WRITE IN THIS SPACE

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 <input type="checkbox"/> Not Applicable
5. Certificate of Status Desired <input type="checkbox"/> \$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
State 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 NAME STREET ADDRESS CITY-ST-ZIP	SEV BOUJOUKOS, GEORGE A. 40 RECTOR STREET NEW YORK NY <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVD 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	PCED KURTZ, GRANT W 90 STATE HOUSE SQ HARTFORD CT 06103 <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"/> Delete

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition <i>Please see Attached Sheet for All O&D</i>
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
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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: *Lee G. Kuckro* **Lee G. Kuckro** **1-4-02** **860-509-1000**
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

CR2E034 (9/01)

Attachment
Sec# 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

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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 29 th 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	James P. Jenkins	Robert T. Mikkelsen
George M. Bevis	Lee G. Kuckro	Daniel J. Mullane
Allen G. Botwinik	Grant W. Kurtz	Robert F. Olsen
George Boujoukos	Martin M. Lilienthal	Donna L. Sawan
Gay B. Foster	Michael T. Mayes	Philip M. Skidmore
Bernard T. Gacona		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