

2004 FOR PROFIT CORPORATION ANNUAL REPORT

FILED
Jan 26, 2004 8:00 am
Secretary of State

01-26-2004 90008 024 ***150.00

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**

54000726



2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

01052004

Chg-P

CR2E034 (10/03)

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

7. Name and Address of New Registered Agent

**C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION, FL 33324**

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

**FILE NOW!!! FEE IS \$150.00
After May 1, 2004 Fee will be \$550.00**

9. Election Campaign Financing
Trust Fund Contribution. ☐ **\$5.00 May Be Added to Fees**

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE ~~SEV~~
NAME **MULLANE, DANIEL** ☐ Delete
STREET ADDRESS **90 STATE HOUSE SQUARE**
CITY-ST-ZIP **HARTFORD, CT 06103**

TITLE **PRESIDENT, Director** ☒ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

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

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

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

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

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

TITLE **CEO, Director** ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE
NAME **SVPD** ☐ Delete
STREET ADDRESS **BURNS, KYLE (KC)**
CITY-ST-ZIP **90 STATE HOUSE SQUARE
HARTFORD, CT 06103**

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

TITLE
NAME **EVPD** ☐ Delete
STREET ADDRESS **MULLANE, DANIEL J**
CITY-ST-ZIP **100 FEDERAL STREET
BOSTON, MA 02110**

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

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: *Lee G. Kuckro* **Lee G. Kuckro** **1/5/04** **860-509-1000**
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR Date Daytime Phone #

Attachment
Advest, Inc.

837639

Officers & Directors

2003

54000726

Officers:

Grant W. Kurtz Chief Executive Officer & Chairman of the Board	90 State House Square Hartford, CT 06103
Daniel J. Mullane President	90 State House Square Hartford, CT 06103
Joseph D. Blair Executive Vice President of Capital Markets Group	100 Federal Street Boston, MA 02110
Lee G. Kuckro Executive Vice President, Secretary and General Counsel	90 State House Square Hartford, CT 06103
Jason H. Diamond Executive Vice President & Chief Financial Officer	90 State House Square Hartford, CT 06103
Gregory J. Anderson Senior Vice President, Director of Human Resources	One Rockefeller Plaza New York, NY 10020
Kyle (K.C.) Burns Senior Vice President, Director of Human Resources	90 State House Square Hartford, CT 06103
Randy Carbone Senior Vice President of Asset Management	90 State House Square Hartford, CT 06103
William A. Cholawa Senior Vice President and National Sales Manager	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	1740 Broadway New York, NY 10019
William C. Freitag Senior Vice President & Chief Compliance Officer	90 State House Square Hartford, CT 06103
Bernard T. Gacona Senior Vice President of Private Client Group	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
Alexandra Lebenthal Senior Vice President, President of Lebenthal Division & Senior Managing Director of Municipal Markets	120 Broadway New York, NY 10271
James R. Orvis	90 State House Square

Attestment
Advest, Inc.
837689
Officers & Directors

54000726

Senior Vice President of Administration & Operations	Hartford, CT 06103
Philip Wellman Senior Vice President & Assistant General Counsel	90 State House Square Hartford, CT 06103
Thomas Byrne Vice President & Assistant General Counsel	90 State House Square Hartford, CT 06103
Kevin J. Charette Vice President of Hartford Information Technology- Application Services	1740 Broadway New York, NY 10019
Christopher P. Drucker Vice President of New York Stock Exchange Operations	1740 Broadway New York, NY 10019
John Gilchrist Vice President and Assistant General Counsel	90 State House Square Hartford, CT 06103
Robert T. Keane, Jr. Vice President of Corporate Syndicate	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
Robert C. Rungee Vice President and AML Officer	90 State House Square Hartford, CT 06103
Megan G. Sansons Vice President of Public Finance	100 Federal Street Boston, MA 02110
Peter Silbo Vice President and Supervisor of Registration	90 State House Square Hartford, CT 06103
Steve Simpson Vice President of Public Finance	100 Federal Street Boston, MA 02110
Kristen K. Wold Vice President of Human Resources Administration	90 State House Square Hartford, CT 06103
James Dolan Senior Managing Director of Municipal Division	100 Federal Street Boston, MA 02110
Michael T. Mayes Senior Managing Director of Investment Banking	90 State House Square Hartford, CT 06103

Attachment
Advest, Inc.
837639
Officers & Directors

54000726

Robert T. Mikkelsen Co-manager of NASDAQ Trading	One Rockefeller Plaza New York, NY 10020
Robert F. Olsen Co-manager of NASDAQ Trading	90 State House Square Hartford, CT 06103
Phillip M. Skidmore Senior Managing Director of Syndicate	90 State House Square Hartford, CT 06103
Michael Andreas Managing Director and Chief Operating Officer Of Capital Markets	1740 Broadway New York, NY 10019
Lawrence D. Bashe Managing Director	One Rockefeller Plaza New York, NY 10020
Herbert Finn Managing Director	1740 Broadway New York, NY 10019
D. Scott Gibson Managing Director of Public Finance	90 State House Square Hartford, CT 06103
Rex Green Managing Director	100 Federal Street Boston, MA 02110
Michael McClintock Managing Director	One Rockefeller Plaza New York, NY 10020
Anthony Morgan Managing Director and Manager of Taxable Fixed Income	1740 Broadway New York, NY 10019
Mark Cantrel Director of Institutional Underwriting and Trading	128 S. Tryon Street Charlotte, NC 28202
Adam M. Cloud Director	90 State House Square Hartford, CT 06103
Robert M. Mains Director of Research	90 State House Square Hartford, CT 06103
Laurie M. Andrews Assistant Secretary	90 State House Square Hartford, CT 06103
Stanley Januszewski Assistant Secretary	90 State House Square Hartford, CT 06103
Eugenia Kominek Assistant Secretary	90 State House Square Hartford, CT 06103

Advest
Advest, Inc.
#857639
Officers & Directors

5400D726

Mark A. Winiarskyj
Assistant Treasurer

90 State House Square
Hartford, CT 06103

Directors (please see address above):

Joseph D. Blair
Kyle Burns
William A. Cholawa
Jason H. Diamond
Gay B. Foster

Bernard T. Gacona
Lee G. Kuckro
Grant W. Kurtz
Alexandra Lebenthal
Michael T. Mayes

Robert T. Mikkelsen
Daniel J. Mullane
James R. Orvis
Robert F. Olsen
Philip M. Skidmore

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

Edward Fernberger, Jr.
Director

Benjamin Fox Pavillion
Jenkintown, PA 19103

Allan M. Fink
Director

12 East 49th Street
New York, NY 10001

Garry L. Hogan
Director

3300 One Oxford Center
Aliquippa, PA 15001

James Keim, Jr.
Director

300 State Street
Erie, PA 16507

Judith A. McCann
Director

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

Robert D. Meyers
Director

250 E. Broad Street, 12th Floor
Columbus, OH 43215

Steven M. Nussbaum
Director

10 Sasco Hill Road
Fairfield, CT 06430

James M. Pucci
Director

90 Crystal Run Road
Middletown, NY 10940

Richard E. Ryall
Director

1441 Main Street
Springfield, MA

Attachments
Advest, Inc.
#837689
Officers & Directors

574000726

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

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