

**2005 FOR PROFIT CORPORATION ANNUAL REPORT**

**FILED**  
**Feb 04, 2005 8:00 am**  
**Secretary of State**

02-04-2005 90089 001 \*\*\*300.00

DOCUMENT # 837639  
 1. Entity Name  
 ADVEST, INC.



Principal Place of Business      Mailing Address  
 ATTN: CHERYL GORHAM      ATTN: CHERYL GORHAM  
 90 STATE HOUSE SQUARE      90 STATE HOUSE SQUARE  
 HARTFORD, CT 06103      HARTFORD, CT 06103

**66001058**



2. Principal Place of Business      3. Mailing Address

Suite, Apt. #, etc.      Suite, Apt. #, etc.

City & State      City & State

Zip      Country      Zip      Country

01122005      Chg-P      CR2E034 (10/03)

4. FEI Number      Applied For  
 06-0950348      Not Applicable

5. Certificate of Status Desired       \$8.75 Additional Fee Required

6. Name and Address of Current Registered Agent  
 C T CORPORATION SYSTEM  
 1200 SOUTH PINE ISLAND ROAD  
 PLANTATION, FL 33324

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. 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, 2005 Fee will be \$550.00**

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

10. OFFICERS AND DIRECTORS	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PD MULLANE, DANIEL 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	CEOD KURTZ, GRANT W 90 STATE HOUSE SQ HARTFORD, CT 06103 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SVPD BURNS, KYLE (KC) 90 STATE HOUSE SQUARE HARTFORD, CT 06103 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVDP MULLANE, DANIEL J 100 FEDERAL STREET BOSTON, MA 02110 <input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	CEO 
TITLE NAME STREET ADDRESS CITY-ST-ZIP	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	
TITLE NAME STREET ADDRESS CITY-ST-ZIP	

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: [Signature]      Date: 1-27-05      Daytime Phone #: 760-509-2170

**ATTACHMENT**  
Advest, Inc.

66001658

#837639

**Officers & Directors**  
2005

**Officers:**

Daniel J. Mullane Chief Executive Officer & Chairman of the Board	90 State House Square Hartford, CT 06103
William A. Cholawa Executive Vice President, Managing Director of Private Client Group & National Sales	90 State House Square Hartford, CT 06103
Jason H. Diamond Executive Vice President, Treasurer & Chief Financial Officer	90 State House Square Hartford, CT 06103
David A. Horowitz Executive Vice President, Asst. Secretary & Asst. General Counsel	90 State House Square Hartford, CT 06103
Lee G. Kuckro Executive Vice President, Secretary and General Counsel	90 State House Square Hartford, CT 06103
Gregory J. Anderson Senior Vice President, Director of Human Resources	12 Broadway, 12 <sup>th</sup> FL New York, NY 10271
Randall Carbone Senior Vice President and Director of Wealth Management and Advisory Services	90 State House Square Hartford, CT 06103
Kevin J. Charette Senior Vice President of Hartford Information Technology- Application Services	90 State House Square Hartford, CT 06103
Steven A. Ciccarello Senior Vice President and Director of Risk Management	1740 Broadway, 19 <sup>th</sup> FL New York, NY 10019
Sean Farrell Senior Vice President and Division Manager of Eastern Seaboard Division	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	1-13 Christopher Way, Ste. 3 Eatontown, NJ 07724
William C. Freitag Senior Vice President and Chief Compliance Officer	90 State House Square Hartford, CT 06103
Alexandra Lebenthal Senior Vice President, President of Lebenthal Division & Senior Managing Director of Municipal Markets	120 Broadway, 12 <sup>th</sup> FL New York, NY 10271

# ATTACHMENT

Advest, Inc.

Officers & Directors

66001058

# 837639

James R. Orvis Senior Vice President of Administration and Director of Operations	90 State House Square Hartford, CT 06103
Aaron Scott Senior Vice President of Strategic Analysis and Planning	90 State House Square Hartford, CT 06103
Frank Sinatra Senior Vice President and Syndicate Manager of Taxable Fixed Income	1740 Broadway New York, NY 10019
Harry Stengel Senior Vice President - Manager of New York Operations	1740 Broadway, 19 <sup>th</sup> FL. New York, NY 10019
Philip Wellman Senior Vice President and Assistant General Counsel	90 State House Square Hartford, CT 06103
Doran Young Senior Vice President and Division Manager of Metro Midwest Division	One Rockefeller Plaza, 21 <sup>st</sup> FL New York, NY 10020
Thomas P. Byrne Vice President and Assistant General Counsel	90 State House Square Hartford, CT 06103
Richard J. DiGiccio Vice President and Director of Payroll	90 State House Square Hartford, CT 06103
Christopher P. Drucker Vice President of New York Stock Exchange Operations	1740 Broadway, 19 <sup>th</sup> FL New York, NY 10019
John K. Gilchrist Vice President and Assistant General Counsel	90 State House Square Hartford, CT 06103
Ronald B. Maggiacomo Vice President of Direct Investments	One Federal Street, 26 <sup>th</sup> FL Boston, MA 02110
Lawrence F. McIntosh Vice President and Supervisory Compliance Officer	90 State House Square Hartford, CT 06103
Sharon Newkirk Vice President and Director of Human Resources	90 State House Square Hartford, CT 06103
Robert Pearce Vice President of Investment Advisory Compliance	90 State House Square Hartford, CT 06103
Robert C. Rungee Vice President and AML Officer	90 State House Square Hartford, CT 06103

**ATTACHMENT**  
Advest, Inc.

Officers & Directors

66001058  
# 837639

Peter Silbo  
Vice President and Supervisor of Registration  
90 State House Square  
Hartford, CT 06103

Andrea Wasilewski  
Vice President of Wealth Management and  
Advisory Services  
90 State House Square  
Hartford, CT 06103

Michael T. Mayes  
Senior Managing Director of Investment Banking  
One Rockefeller Plaza, 20<sup>th</sup> FL  
New York, NY 10020

Robert F. Olsen  
Co-Managing Director of NASDAQ Trading  
90 State House Square  
Hartford, CT 06103

James H. Sampson  
Senior Managing Director of Municipal Division  
1740 Broadway, 19<sup>th</sup> FL  
New York, NY 10019

Phillip M. Skidmore  
Senior Managing Director of Syndicate  
90 State House Square  
Hartford, CT 06103

Lawrence D. Bashe  
Managing Director  
One Rockefeller Plaza  
New York, NY 10020

D. Scott Gibson  
Managing Director of Public Finance  
90 State House Square  
Hartford, CT 06103

Robert T. Keane, Jr.  
Managing Director of Corporate Finance  
90 State House Square  
Hartford, CT 06103

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

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

Mark A. Winiarskyj  
Assistant Treasurer  
90 State House Square  
Hartford, CT 06103

# ATTACHMENT

Advest, Inc.

## Officers & Directors

66001058  
# 837639

Directors (please see address above) :

Randall Carbone  
William A. Cholawa  
Steven A. Ciccarello  
Jason H. Diamond  
Sean Farrell

Gay B. Foster  
Lee G. Kuckro  
Alexandra Lebenthal  
Michael T. Mayes  
Daniel J. Mullane

Robert F. Olsen  
James R. Orvis  
Philip M. Skidmore

Mark Bilski  
Director

75 N. Kensico Avenue  
Valhalla, NY 10595

Kevin R. Byrne  
Director

1290 Avenue of the Americas  
New York, NY 10104

Harry H. Canavesi  
Director

501 3<sup>rd</sup> Street  
Beaver, PA 15009

Donald J. Cristo  
Director

17 West Main Street  
Avon, CT 06001

Edward Fernberger, Jr.  
Director  
Allan M. Fink  
Director

Benjamin Fox Pavillion, Ste. 923  
Jenkintown, PA 19103  
One Rockefeller Plaza, 21<sup>st</sup> FL  
New York, NY 10020

Garry L. Hogan  
Director

3300 One Oxford Center  
Aliquippa, PA 15001

Jeffery M. James  
Director

120 Broadway, 12<sup>th</sup> Fl  
New York, NY 10271

James Keim, Jr.  
Director

300 State Street  
Erie, PA 16507

Judith A. McCann  
Director

71 Hill Street, Ste. E.  
Southampton, NY 11968

Robert D. Meyers  
Director

4100 Horizons Drive  
Upper Arlington, OH 43220

Steven M. Nussbaum  
Director

33 Riverside Avenue, Ste. 5  
Westport, CT 06880

James M. Pucci  
Director

4 Coates Drive, Ste. 2  
Goshen, NY 10924

Richard E. Ryall  
Director

1441 Main Street, 8<sup>th</sup> FL  
Springfield, MA

**ATTACHMENT**  
Advest, Inc.

**Officers & Directors**

66001058

# 837639

Jay H. Salkin  
Director

1301 York Road, Ste. 110  
Lutherville, MD 21093

Paul Skydell  
Director

2 Jericho Plaza  
2<sup>nd</sup> FL, Wing A  
Jericho, NY 11753

Bernard A.G. Taradash  
Director

386 High Street  
PO Box 1910  
Fall River, MA 02722

Doran Young  
Director

One Rockefeller Plaza, 21<sup>st</sup> FL  
New York, NY 10020

Michael J. Vogelzang  
Director

One Federal Street, 26<sup>th</sup> FL  
Boston, MA 02110

Chris Wilkinson  
Director

One Federal Street, 24<sup>th</sup> FL  
Boston, MA 02110