

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 21, 2003 8:00 am
Secretary of State

01-21-2003 90468 001 ***300.00

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



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**

☐ CHECK HERE IF MAKING CHANGES

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, 2003 Fee will be \$550.00
Make Check Payable to Florida Department of State

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 NAME STREET ADDRESS CITY-ST-ZIP	SEV BOUJOUKOS, GEORGE A. 40 RECTOR STREET NEW YORK NY <input checked="" 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	SVPD BURNS, KYLE (KC) 90 STATE HOUSE SQUARE HARTFORD CT 06103 <input type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVPD MULLANE, DANIEL J 100 FEDERAL STREET BOSTON MA 02110 <input type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	Please see Attached Sheet for All Officers & Directors <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

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 attached address, with all other like empowered.

SIGNATURE:

SIGNATURE REQUIRED
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Lee G. Kuckro **1/10/03**

860-509-2190
Daytime Phone #

CR2E034 (10/02)

Attachment
Advest, Inc.

Officers & Directors

P20005
837639

Officers:

Grant W. Kurtz Chief Executive Officer & Chairman of the Board	90 State House Square Hartford, CT 06103
Daniel J. Mullane Senior Executive Vice President & President of Private Client Group	90 State House Square Hartford, CT 06103
Joseph D. Blair Executive Vice President of Capital Markets Group	100 Federal Street Boston, MA 02110
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
Donna L. Sawan 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
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

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Advest, Inc.

Officers & Directors

#P20005
#837639

James R. Orvis
Senior Vice President of Administration & Operations

90 State House Square
Hartford, CT 06103

Ernest R. Smith
Senior Vice President

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

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

Nicholas G. Hano
Vice President of New York Stock Exchange

1740 Broadway
New York, NY 10019

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

Anthony Morgan
Vice President & Senior Registered Options Principal

1740 Broadway
New York, NY 10019

Carol Oliver
Vice President of Hartford Information Technology –
Operations

90 State House Square
Hartford, CT 06103

Megan G. Sansons
Vice President

100 Federal Street
Boston, MA 02110

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

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Advest, Inc.

Officers & Directors

#P20005
#837639

George Bevis
Senior Managing Director of Institutional Equity Sales

One Rockefeller Plaza
New York, NY 10020

Michael T. Mayes
Senior Managing Director of Investment Banking

90 State House Square
Hartford, CT 06103

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

Alexander M. Clark
Managing Director of Investment Banking

90 State House Square
Hartford, CT 06103

D. Scott Gibson
Managing Director of Public Finance

90 State House Square
Hartford, CT 06103

Frank A. Klepetko
Managing Director of Investment Banking

One Rockefeller Plaza
New York, NY 10020

Adam M. Cloud
Director

90 State House Square
Hartford, CT 06103

Robert M. Mains
Director of Research

90 State House Square
Hartford, CT 06103

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

Laurie Andrews
Assistant Secretary

90 State House Square
Hartford, CT 06103

Eugenia Kominek
Assistant Secretary

90 State House Square
Hartford, CT 06103

Directors (please see address above) :

George M. Bevis
Joseph D. Blair
Allen G. Botwinik
William A. Cholawa
Gay B. Foster

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

Robert T. Mikkelsen
Daniel J. Mullane
Robert F. Olsen
Donna L. Sawan
Ernest R. Smith

Attachments

Advest, Inc.

Officers & Directors

#P20005
#837639

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 49 th 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, 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
Philip M. Skidmore Director	90 State House Square Hartford, CT 06103
Paul Skydell	2 Jericho Plaza

Attachment

Advest, Inc.

Officers & Directors

#P20005
#837639

Director

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

One check for
both filings.
Thanks