

**2001 UNIFORM BUSINESS REPORT (UBR)****DOCUMENT # 838333**

1. Entity Name

**TUCKER ANTHONY INCORPORATED**

Principal Place of Business

**ONE BECON STREET  
BOSTON MA 02108  
US**

Mailing Address

**ATTN: MELISSA FARBER  
200 LIBERTY ST. 1 WORLD FIN. CTR.. 3 FLOOR  
NEW YORK NY 10281  
US**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City &amp; State

City &amp; State

Zip

Country

Zip

Country

4. FEI Number

**04-2566229**

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

**THE PRENTICE-HALL CORPORATION SYSTEM, INC.  
1201 HAYS STREET  
SUITE 105  
TALLAHASSEE FL 32301**

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

**FILE NOW:  
FEE IS \$61.25**9. Election Campaign Financing  
Trust Fund Contribution. ☐**\$5.00** May Be  
Added to Fees**Make Check Payable to  
Department of State**

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 10

TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Delete	TITLE NAME STREET ADDRESS CITY-ST-ZIP	<input type="checkbox"/> Change <input type="checkbox"/> Addition
CCD GOLDSMITH, JOHN H ONE BEACON ST BOSTON MA	<input type="checkbox"/>		<input type="checkbox"/>
T MULLIN, JOHN 200 LIBERTY ST NEW YORK NY	<input type="checkbox"/>		<input type="checkbox"/>
PD YEVICH, ROBERT H. 200 LIBERTY STREET NEW YORK NY	<input type="checkbox"/>		<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>

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 617, 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 AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

**FILED**  
**Apr 30, 2001 8:00 am**  
**Secretary of State**

04-30-2001 90085 041 \*\*\*\*\*61.25



DO NOT WRITE IN THIS SPACE

CR2E037 (10/00)

Attachment  
 D#838333  
 A0059378

**NAME AND RESIDENTIAL**

**BUSINESS ADDRESS POSITION**

JOHN H. GOLDSMITH 55 GALLOUPES POINT SWAMPSCOTT, MA 01907	ONE BEACON STREET BOSTON, MA 02108	CHAIRMAN, CEO & DIRECTOR
MARK MENCHEL 117 CLEVELAND STREET NORFOLK, MA 02056	ONE BEACON STREET BOSTON, MA 02108	EVP, GENERAL COUNSEL, PRESIDENT & DIRECTOR
KEVIN MCKAY 530 EAST 86TH STREET NEW YORK, NY 10028	ONE WORLD FINANCIAL 200 LIBERTY STREET NEW YORK, NY 10281	EVP & ASSISTANT SECRETARY/CLERK
JOHN MULLIN 18 GLEN ROAD GARDEN CITY, NY 11530	ONE WORLD FINANCIAL 200 LIBERTY STREET NEW YORK, NY 10281	CHIEF FINANCIAL OFFICER
MARK DONOHUE 422 EAST 72ND STREET NEW YORK, NY 10021	ONE WORLD FINANCIAL 200 LIBERTY STREET NEW YORK, NY 10281	DIRECTOR
ANN MARIE ETERGINO 5604 PIONEER LANE BETHESDA, MD 20816	1300 I STREET, NW WASHINGTON, DC 20005	DIRECTOR
ROBERT LEHRER 240 HEADQUARTERS TRAIL SANTA FE, NEW MEXICO 87501	ONE WORLD FINANCIAL 200 LIBERTY STREET NEW YORK, NY 10281	DIRECTOR
RICHARD NYDEGGER 38 CORMORANT DRIVE HAMPTON BAYS, NY 11946	131 MAIN STREET SOUTHAMPTON, NY 11968	DIRECTOR
J. FRANCIS RUIMERMAN 301 WAI COTT HILL ROAD WETHERSFIELD, CT 06109	ONE CORPORATE CENTER HARTFORD, CT 06103	DIRECTOR
JAMES J. TRICOLLI 200 BUCK LANE HAVERSFORD, PA 19041	130 NORTH 18TH STREET ONE LOGAN SQUARE PHILADELPHIA, PA 19103	DIRECTOR
TIMOTHY P. SULLIVAN 31 HATHAWAY LANE ESSEX FALLS, NJ 07021	25 HANOVER ROAD, #2 FLORHAM PARK, NJ 07932	DIRECTOR