

2007 FOR PROFIT CORPORATION ANNUAL REPORT

FILED
Mar 01, 2007 8:00 am
Secretary of State

03-01-2007 90016 050 ***150.00

DOCUMENT # P02081

1. Entity Name
UVEST FINANCIAL SERVICES GROUP, INC.



Principal Place of Business
200 SOUTH COLLEGE ST.
21 FLOOR
CHARLOTTE, NC 28202

Mailing Address
200 SOUTH COLLEGE ST.
21 FLOOR
CHARLOTTE, NC 28202

40026913



2. Principal Place of Business - No P.O. Box #

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

02142007

Chg-P

CR2E034 (12/06)

City & State

City & State

4. FEI Number

56-1210987

Applied For

Not Applicable

Zip

Country

Zip

Country

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

6. Name and Address of Current Registered Agent

OSMAN, ARTHUR
6911 S.W. 64TH COURT
SOUTH MIAMI, FL 33143

7. Name and Address of New Registered Agent

Name **CT Corporation System**

Street Address (P.O. Box Number is Not Acceptable)
1200 South Pine Island Road

City **Plantation** **FL** Zip Code **33324**

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

TRACI HOUCK
SPECIAL ASSISTANT SECRETARY

(NOTE: Registered Agent signature required when re-appointing)

2/15/07

DATE

FILE NOW!!! FEE IS \$150.00
After May 1, 2007 Fee will be \$550.00

9. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

10. OFFICERS AND DIRECTORS

TITLE DCEO ☒ Delete
NAME ROBINSON, JOHN HENRY JR.
STREET ADDRESS 270 COVILLE RD.
CITY-ST-ZIP CHARLOTTE, NC 28207

TITLE COO ☒ Delete
NAME ARNOLD, DAN H
STREET ADDRESS 314 FENTON
CITY-ST-ZIP CHARLOTTE, NC 28207

TITLE SVP ☒ Delete
NAME VINES, MICHAEL L
STREET ADDRESS 9300 TILLOT DR.
CITY-ST-ZIP MATTHEWS, NC 28105

TITLE VP ☒ Delete
NAME PAYNE, TERRI L
STREET ADDRESS 2100 CHESTERFIELD AVE.
CITY-ST-ZIP CHARLOTTE, NC 28205

TITLE SVP ☒ Delete
NAME ABOOD, DENISE M
STREET ADDRESS 329 WENDOVER HILL CT.
CITY-ST-ZIP CHARLOTTE, NC 28211

TITLE SVP ☒ Delete
NAME FRY, CHARLEY
STREET ADDRESS 268 PALMER CIRCLE
CITY-ST-ZIP ROCKWELL, NC 28138

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE D/CEO ☒ Change ☐ Addition
NAME Arnold, Dan
STREET ADDRESS 200 S. College St, 21st floor
CITY-ST-ZIP Charlotte, NC 28202

TITLE Exec. Vice President ☐ Change ☒ Addition
NAME Andy Barksdale
STREET ADDRESS 200 S. College Street 21st floor
CITY-ST-ZIP Charlotte, NC 28202

TITLE SVP ☒ Change ☐ Addition
NAME Michael Vines
STREET ADDRESS 200 S. College Street, 21st floor
CITY-ST-ZIP Charlotte, NC 28202

TITLE CFO, Treasurer ☒ Change ☐ Addition
NAME Terri Payne
STREET ADDRESS 200 S. College St, 21st floor
CITY-ST-ZIP Charlotte, NC 28202

TITLE SVP ☐ Change ☒ Addition
NAME Arthur Osman
STREET ADDRESS 200 S. College St, 21st floor
CITY-ST-ZIP Charlotte, NC 28202

TITLE SVP ☒ Change ☐ Addition
NAME Charles Fry
STREET ADDRESS 200 S. College St, 21st floor
CITY-ST-ZIP Charlotte, NC 28202

12. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, 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 AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Chad Perry

DATE

2/14/07

DEVICE PHONE #

617-897-4126

ATTACHMENT

4002 6915

UVEST FINANCIAL SERVICES GROUP, INC.
State of Florida - Document #P02081
2007 Annual Report - Officers/Directors

Directors of UVEST located at Linsco/Private Ledger Corp. - One Beacon Street - Boston, MA 02108:

Mark S. Casady
William Dwyer

Directors of UVEST located at Linsco/Private Ledger Corp.- 9785 Towne Centre Drive - San Diego, CA 92121:

Esther Stearns
C. William Maher

Officers of UVEST located at UVEST Financial Services Group - 200 S. College Street - Charlotte, NC 28202:

Dan Arnold - Chief Executive Officer
Terri Payne - Chief Financial Officer, Treasurer
Andy Barksdale - Executive Vice President
James McGuire - Senior Vice President, Chief Compliance Officer
Michael L. Vines - Senior Vice President
Charles Fry - Senior Vice President
Arthur Osman - Senior Vice President
Michael Gregson - Senior Vice President

Officer of UVEST located at Linsco/Private Ledger Corp. located at One Beacon Street - Boston, MA 02108:

Chad Perry - Secretary