

**2016 FOREIGN PROFIT CORPORATION ANNUAL REPORT**

DOCUMENT# F12000003826

**Entity Name:** HARBERT FUND ADVISORS, INC.

**Current Principal Place of Business:**

2100 THIRD AVENUE NORTH SUITE 600  
BIRMINGHAM, AL 35203

**Current Mailing Address:**

2100 THIRD AVENUE NORTH SUITE 600  
BIRMINGHAM, AL 35203

**FEI Number:** 63-1105440

**Certificate of Status Desired:** No

**Name and Address of Current Registered Agent:**

CORPORATION SERVICE COMPANY  
1201 HAYS STREET  
TALLAHASSEE, FL 32301-2525 US

*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:**

\_\_\_\_\_  
Electronic Signature of Registered Agent

\_\_\_\_\_  
Date

**Officer/Director Detail :**

Title CEO  
Name HARBERT, RAYMOND J  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title EVP & GLOBAL HEAD OF DISTRIBUTION  
Name MILLER, CHARLES D.  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title EVP, GENERAL COUNSEL & SECRETARY  
Name MCCULLOUGH, JOHN W.  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title VP & CHIEF COMPLIANCE OFFICER  
Name BAUDER, MICHAEL C.  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title EVP & CHIEF FINANCIAL OFFICER  
Name KEETON, SONJA  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title DIRECTOR OF AVIATION & CHIEF PILOT  
Name JONES, DENNIS L.  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

Title VP & ASSOCIATE GENERAL COUNSEL - ADVISORY SERVICES  
Name FRAZIER, BUFKIN K.  
Address 2100 THIRD AVENUE NORTH SUITE 600  
City-State-Zip: BIRMINGHAM AL 35203

*I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic 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 above, or on an attachment with all other like empowered.*

**SIGNATURE:** SONJA KEETON

**EVP & CFO**

**02/15/2016**

\_\_\_\_\_  
Electronic Signature of Signing Officer/Director Detail

\_\_\_\_\_  
Date