

2017 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

01/12/2017

Electronic Signature of Signing Officer/Director Detail

Date