



**State of Rhode Island and Providence Plantations
Office of the Secretary of State**

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Foreign Business Corporation
Annual Report**

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2019

1. Corporate ID No. 000020826

2. Name of Corporation Cadaret, Grant & Co., Inc.

3. Street Address Principal Business Office:

No. and Street: 110 WEST FAYETTE STREET, 5TH FLOOR

City or Town: SYRACUSE

State: NY Zip: 13202 Country: USA

4. Business Phone No.

800.234.8539

5. State of Incorporation

State: DE

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523120

6. Brief Description of the Character of Business Conducted in Rhode Island

BROKER/ DEALER

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
FIRST VICE PRESIDENT	DONALD JAYNES	110 WEST FAYETTE STREET, 5TH FLOOR SYRACUSE, NY 13202 USA
VICE PRESIDENT	SHERRY DEPERRO	110 WEST FAYETTE STREET, 5TH FLOOR

		SYRACUSE, NY 13202 USA
VICE PRESIDENT	DONNA GUINTA	110 FAYETTE STREET, 5TH FLOOR SYRACUSE, NY 13202 USA
VICE PRESIDENT	MICHAEL ARNOLD	110 WEST FAYETTE STREET, 5TH FLOOR SYRACUSE, NY 13202 USA
VICE PRESIDENT	KEVIN MAKOWSKI	110 WEST FAYETTE STREET, 5TH FLOOR SYRACUSE, NY 13202 USA
VICE PRESIDENT	MEGAN GRANT	110 WEST FAYETTE STREET, 5TH FLOOR SYRACUSE, NY 13202 USA
VICE PRESIDENT	TRISHA TYMKIW	110 W FAYETTE ST SYRACUSE, NY 13202 USA
VICE PRESIDENT	SHANNON OBRIEN	110 WEST FAYETTE STREET SYRACUSE, NY 13202 USA
PRESIDENT & CEO	DOUGLAS J KETTERER	110 WEST FAYETTE STREET SYRACUSE, NY 13202 USA
CHAIRMAN OF THE BOARD	DOUGLAS J KETTERER	110 WEST FAYETTE STREET SYRACUSE, NY 13202 USA
TREAS/VP/SECY/DIRECTOR	DONALD J TAYLOR	110 WEST FAYETTE STREET SYRACUSE, NY 13202 USA
ASSISTANT SECRETARY/AVP	DONNA M FARRELL	200 VALLEY ROAD MT ARLINGTON, NJ 07856 USA
DIRECTOR	EUGENE H ELIAS JR	110 WEST FAYETTE STREET SYRACUSE, NY 13202 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$0.0100	400,000.00	104688
PWP		\$50.0000	5,000.00	0

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 11 Day of February, 2019 at 11:38:25 AM. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By DONNA M FARRELL
Signature of Authorized Representative of the Corporation

