



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
 Office of the Secretary of State - Division of Business Services
 148 W. River Street, Providence, Rhode Island 02904-2615
 Phone: (401) 222-3040 ~ Email: corporations@sos.ri.gov ~ Website: www.sos.ri.gov

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR **2016**

Filing Period: January 1 - March 1 • This report must be typed or printed legibly.

Filing Fee: \$50.00 • FAILURE TO FILE THIS REPORT BY MARCH 31 WILL RESULT IN A \$25.00 PENALTY FEE.

1. Entity ID No. 000025743		2. Exact name of the Corporation Prudential Equity Group Inc			
3. Principal office address 100 Mulberry Street, Gateway Center 2			City Newark	State NJ	Zip 07102
4. Business Phone No. 973-802-6000			5. State of Incorporation Delaware		
6. Brief description of the character of business conducted in Rhode Island Provided broker dealer services					
7. LIST ALL OFFICERS (NAMES AND ADDRESSES) (*X* BOX FOR ATTACHMENT) <input checked="" type="checkbox"/>					
President Name Julia A. Herbert			Vice-President Name Janice F. Pavlou		
Street Address 100 Mulberry Street, Gateway Center 2			Street Address 100 Mulberry Street, Gateway Center 2		
City Newark	State NJ	Zip 07102	City Newark	State NJ	Zip 07102
Secretary Name John L. Bronson			Treasurer Name Cathleen M. Paugh		
Street Address 751 Broad Street			Street Address 751 Broad Street		
City Newark	State NJ	Zip 07102	City Newark	State NJ	Zip 07102
8. LIST ALL DIRECTORS (NAMES AND ADDRESSES) (*X* BOX FOR ATTACHMENT) <input type="checkbox"/>					
Director Name Brian F. Cloonan			Director Name Julia A. Herbert		
Street Address 100 Mulberry Street, Gateway Center 3			Street Address 100 Mulberry Street, Gateway Center 2		
City Newark	State NJ	Zip 07102	City Newark	State NJ	Zip 07102
Director Name Jeanette Pollock			Director Name		
Street Address 100 Mulberry Street, Gateway Center 2			Street Address		
City Newark	State NJ	Zip 07102	City	State	Zip
9. SHARES AUTHORIZED			10. SHARES ISSUED (*X* BOX FOR ATTACHMENT) <input type="checkbox"/>		
This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.			NUMBER OF SHARES	CLASS/SERIES	PAR VALUE
			None	None	None

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 CORPORATIONS DIV
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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.

File Date _____
 Check No _____
 By _____
FOR SECRETARY OF STATE USE ONLY

FILED

MAR 23 2016

Under penalty of perjury, I declare and affirm that I have examined this report, including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Mina C. Bailey 03/22/2016
 Signature of Authorized Representative Date

CA 270648 **Mina C. Bailey, Assistant Secretary**
 PRINT or Type Name of Authorized Representative

25743

Officer Attachment

Officer Name	Title	Address
BADLANI, RAKHI	Asst. Controller	200 Wood Avenue, Iselin, NJ 08830
BALLAS, TINA L	Asst. Controller	751 Broad Street, Newark, NJ 07102
BEARY, EILEEN M	Asst. Controller	100 Mulberry Street, Gateway Center 3, Newark, NJ 07102
CAULEY, MARY ANNE	Asst. Controller	751 Broad Street, Newark, NJ 07102
STEWART, JACQUELYN I	Asst. Controller	200 Wood Avenue, Iselin, NJ 08830
BAILEY, MINA C	Asst. Secretary	751 Broad Street, Newark, NJ 07102
BAFIERO, JOHN M	Asst. Secretary	751 Broad Street, Newark, NJ 07102
BOFFMAN, KATHLEEN C	Asst. Treasurer	751 Broad Street, Newark, NJ 07102
BOLLOCK, JEANETTE	Chairman & CEO	100 Mulberry Street, Gateway Center 2, Newark, NJ 07102
CANE, DENNIS B	Chief Financial Officer	100 Mulberry Street, Gateway Center 3, Newark, NJ 07102
CANE, DENNIS B	Controller	100 Mulberry Street, Gateway Center 3, Newark, NJ 07102
CANE, DENNIS B	Vice President	100 Mulberry Street, Gateway Center 3, Newark, NJ 07102
ERNER, JACK G	First Vice President	751 Broad Street, Newark, NJ 07102
ERNER, JACK G	General Counsel	751 Broad Street, Newark, NJ 07102
HERBERT, JULIA A	President	100 Mulberry Street, Gateway Center 2, Newark, NJ 07102
BRONSON, JOHN L	Secretary	751 Broad Street, Newark, NJ 07102
SHINE, STEPHEN J	Senior Regulatory	751 Broad Street, Newark, NJ 07102
SHINE, STEPHEN J	Senior Vice President	751 Broad Street, Newark, NJ 07102
PAUGH, CATHLEEN M	Treasurer	751 Broad Street, Newark, NJ 07102
CLARKE, WAYNE R	Vice President	100 Mulberry Street, Gateway Center 2, Newark, NJ 07102
PAVLOU, JANICE F	Vice President	100 Mulberry Street, Gateway Center 2, Newark, NJ 07102