

**Commonwealth of Kentucky**  
**Elaine N. Walker, Secretary of State**

PARP  
**0638845**  
Elaine N. Walker  
Secretary of State  
Received and Filed  
**5/20/2011 1:26:37 PM**  
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Elaine N. Walker  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**Annual Report  
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**ARP**

**Company:** WENTWORTH, HAUSER AND VIOLICH, INC.  
**Company ID:** 0638845  
**State of origin:** Washington  
**Formation date:** 5/16/2006 12:00:00 AM  
**Date filed:** 5/20/2011 1:26:37 PM  
**Fee:** \$15.00

**Principal Office**

301 BATTERY STREET  
SUITE 400  
SAN FRANCISCO, CA 94111

**Registered Agent Name/Address**

NATIONAL CORPORATE RESEARCH, LTD.  
828 LANE ALLEN ROAD  
SUITE 219  
LEXINGTON, KY 40504

**Current Officers**

|                     |                       |                                                     |
|---------------------|-----------------------|-----------------------------------------------------|
| Chairman            | W. Kurt Hauser        | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| CEO                 | Judith R. Stevens     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| President           | Judith R. Stevens     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Assistant Secretary | Sasha C. Lien         | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Secretary           | Heather L. Hall       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Treasurer           | Heather L. Hall       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Reiner M. Triltsch    | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Jeffrey K Romrell     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Deirdre J.G. Porter   | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | John A. Gagliano      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | James R. Simone       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Timothy J. Allen      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | J. Michael Gallagher  | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Miriam Ballert        | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Jeffrey C. Coburn     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Linda Davis           | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Paul A. Fawcett       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | LeeAnn Gudeit         | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Bradford Hall         | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Alex Lilles           | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Alexander K. McKinnon | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Stephen E. Moore      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Lisa Pelayo           | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | David Schwarzenberger | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Laura A. Stankard     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Timothy Sweeney       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Thomas M. Swoffer     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President      | Evelyn F. Taoka       | 301 Battery Street Ste 400, San Francisco, CA 94111 |

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**ARP**

|                |                    |                                                     |
|----------------|--------------------|-----------------------------------------------------|
| Vice President | Allen P. Wentworth | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Daniel C. Young    | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Brad V. Walan      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Pavita Fleischer   | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Ken Piper          | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Paul Weinberg      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Vice President | Allison G. Goodson | 301 Battery Street Ste 400, San Francisco, CA 94111 |

**Directors**

|          |                        |                                                     |
|----------|------------------------|-----------------------------------------------------|
| Director | C. Budd Colby          | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Jeffery S. Vincent     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Judith R. Stevens      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | W. Kurt Hauser         | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Jeffrey K. Romrell     | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Theodore H. Smyth, Jr. | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Reiner M. Trilsch      | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Steven K. Buster       | 301 Battery Street Ste 400, San Francisco, CA 94111 |
| Director | Richard J. Forster     | 301 Battery Street Ste 400, San Francisco, CA 94111 |

**Signatures**

|                  |                             |
|------------------|-----------------------------|
| <b>Signature</b> | Pamela K. Young             |
| <b>Title</b>     | Paralegal, Graham & Dunn PC |