

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Feb 20, 2001 8:00 am
Secretary of State

02-20-2001 90001 039 ***150.00

DOCUMENT # F94000000770

1. Entity Name
ESSEX NATIONAL SECURITIES, INC.

Principal Place of Business Mailing Address
825 THIRD AVENUE 825 THIRD AVENUE
NEW YORK NY 10022 NEW YORK NY 10022

813862



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business 3. Mailing Address

Suite, Apt. #, etc. Suite, Apt. #, etc.

City & State City & State

4. FEI Number **13-3536697** Applied For
 Not Applicable

Zip Country Zip Country 5. Certificate of Status Desired **\$8.75 Additional Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

NATIONAL CORPORATE RESEARCH, LTD., INC.
1406 HAYS STREET, SUITE 2
TALLAHASSEE FL 32301

Name
 Street Address (P.O. Box Number is Not Acceptable)
 City **FL** Zip Code

8. 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 _____ DATE _____
Signature, typed or printed name of registered agent and title if applicable. (NOTE: Registered Agent signature required when reinstating)

9. This corporation is eligible to satisfy its Intangible Tax filing requirement and elects to do so.

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2001 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing Trust Fund Contribution. **\$5.00 May Be Added to Fees**

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE NAME STREET ADDRESS CITY-ST-ZIP	CCEO CROWE, KEVIN E 825 3RD AVENUE NEW YORK NY 10022	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	P NICHOLAS, FREDERICK S III 825 3RD AVENUE NEW YORK NY 10022	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	EVP WADE, WILLIAM N 101 BRADFORD ROAD., STE 200 WEXFORD PA 15090	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VS ZYTKOWICZ, GREGORY G 825 3RD AVENUE NEW YORK NY 10022	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	TC LANTHIER, ELISA M 825 3RD AVENUE NEW YORK NY 10022	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	AT ROMANO, MELISSA 825 THIRD AVENUE NEW YORK NY 10022	<input checked="" type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	CHAIRMAN, CEO, DIRECTOR FREDERICK S. NICHOLAS 825 THIRD AVENUE NEW YORK, NY 10022	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	PRESIDENT SCOTT K. DAVIS 215 GATEWAY ROAD WEST NAPA, CA 94558	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SUP JOHN COONEY 215 GATEWAY ROAD WEST NAPA, CA 94558	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	SUP/SECRETARY/CHIEF COMPLIANCE OFFICER THOMAS L. WETMORE 215 GATEWAY ROAD WEST NAPA, CA 94558	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	ELLA SANKISOV/Treasurer/C. 215 GATEWAY ROAD WEST NAPA, CA 94558	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	DIRECTOR ROBERT H. NATTS 200 CLARENDON STREET BOSTON, MA 02117	<input type="checkbox"/> Change <input checked="" type="checkbox"/> Addition

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my 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 in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: Scott K. Davis **SCOTT K. DAVIS** 1/19/01 (707)258-5000
Signature and Typed or Printed Name of Signing Officer or Director Date Daytime Phone #

CFR2E034 (10/00)

Essex National Securities, Inc.
List of Officers & Directors

<i>Name</i>	<i>Business Address</i>	<i>Title</i>
Frederick S. Nicholas III	825 Third Avenue New York, NY 10022	Chairman / CEO
Scott K. Davis	215 Gateway Road West Napa, CA 94558	President
John M. Cooney	215 Gateway Road West Napa, CA 94558	Senior Vice President / Chief of Operations
Daniel P. Butterfield	215 Gateway Road West Napa, CA 94558	Senior Vice President / Chief of Licensing, Registration and Continuing Education
Thomas L. Wetmore	215 Gateway Road West Napa, CA 94558	Senior Vice President / Chief Compliance Officer / Secretary
Ella Sankisov	215 Gateway Road West Napa, CA 94558	Vice President / Treasurer / Controller / Financial and Operations Principal
Timothy M. Stoddart	825 Third Avenue New York, NY 10022	Vice President
Bruce C. McCulloch	215 Gateway Road West Napa, CA 94558	Vice President
Margaret Geddes	215 Gateway Road West Napa, CA 94558	Assistant Secretary

Directors:

Frederick S. Nicholas III	825 Third Avenue New York, NY 10022	Director
Robert S. Paster	John Hancock Place 200 Clarendon Street Boston, MA 02117	Director
Robert H. Watts	John Hancock Place 200 Clarendon Street Boston, MA 02117	Director

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Stamp # 813862