

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Mar 10, 2003 8:00 am
Secretary of State

03-10-2003 90166 007 ***150.00

0012872 MR

DOCUMENT # F94000000770

1. Entity Name
ESSEX NATIONAL SECURITIES, INC.



Principal Place of Business
**825 THIRD AVENUE
NEW YORK NY 10022**

Mailing Address
**825 THIRD AVENUE
NEW YORK NY 10022**



CHECK HERE IF MAKING CHANGES

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.
103 N. MERIDIAN STREET
TALLAHASSEE FL 32301-0000**

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE _____

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

FILE NOW!!! FEE IS \$150.00
After May 1, 2003 Fee will be \$550.00
Make Check Payable to Florida Department of State

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

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE * Delete
NAME **CEOD NICHOLAS, FREDERICK S**
STREET ADDRESS **825 3RD AVE**
CITY-ST-ZIP **NEW YORK NY 10022**

TITLE **Chairman / CEO / President** Change Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE Delete
NAME **P DAVIS, SCOTT K**
STREET ADDRESS **215 GATEWAY RD W**
CITY-ST-ZIP **NAPA CA 94558**

TITLE Change Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE Delete
NAME **SVP COONEY, JOHN**
STREET ADDRESS **215 GATEWAY RD W**
CITY-ST-ZIP **NAPA CA 94558**

TITLE Change Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE Delete
NAME **SSCO WETMORE, THOMAS L**
STREET ADDRESS **215 GATEWAY RD W**
CITY-ST-ZIP **NAPA CA 94558**

TITLE Change Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE Delete
NAME **TC SANKISON, ELLA**
STREET ADDRESS **215 GATEWAY RD W**
CITY-ST-ZIP **NAPA CA 94558**

TITLE Change Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE Delete
NAME **D NATTS, ROBERT H**
STREET ADDRESS **200 CLARENDON ST**
CITY-ST-ZIP **BOSTON MA 02117**

TITLE Change Addition
NAME **WATTS, ROBERT H.**
STREET ADDRESS
CITY-ST-ZIP

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: _____

Sharon Gaddis
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

2/18/03

Date

(707) 258-5000

Daytime Phone #

CFR2E034 (10/02)

Attachment

80056445

F9060000720

**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 / President / Chief Compliance Officer
Curtis R. Eisele	8700 W. Bryn Mawr Suite# 800S Chicago, IL 60631	Senior Vice President / National Sales Manager
John M. Cooney	215 Gateway Road West Napa, CA 94558	Senior Vice President / Chief of Operations
Stephen V. Ciancarelli	825 Third Avenue New York, NY 10022	Senior Vice President / Chief Financial Officer
Ella Sankisov	215 Gateway Road West Napa, CA 94558	Vice President / Treasurer / Controller / Financial and Operations Principal
Carol A. Troxclair	215 Gateway Road West Napa, CA 94558	Vice President / Senior Compliance Officer / Manager of Licensing, Registration & CE / Assistant Secretary
Margaret Geddes	215 Gateway Road West Napa, CA 94558	Secretary

Directors:

Frederick S. Nicholas III	825 Third Avenue New York, NY 10022	Director
Will E. Kaknes	John Hancock Place 200 Clarendon Street Boston, MA 02117	Director
Robert H. Watts	John Hancock Place 200 Clarendon Street Boston, MA 02117	Director
Bruce M. Jones	John Hancock Place 200 Clarendon Street Boston, MA 02117	Director