

PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THIS FORM.

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APPLICATION  
FOR  
REINSTATEMENT



FLORIDA DEPARTMENT OF STATE  
Jim Smith  
Secretary of State  
DIVISION OF CORPORATIONS

DOCUMENT # F94000000770

1. Corporation 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

If above addresses are incorrect in any way, line through incorrect information and enter correction below.

2. New Principal Office Address, If Applicable

Suite, Apt. #, etc.

City & State

Zip

Country

3. New Mailing Office Address, If Applicable

Suite, Apt. #, etc.

City & State

Zip

Country

4. Date Incorporated or Qualified  
To Do Business in Florida

02/16/1994

5. FEI Number

13-3536697

Applied For

Not Applicable

6. CERTIFICATE OF STATUS DESIRED ☐

\$8.75 Additional Fee required  
for a Certificate of Status

7. Names and Street Addresses of Each Officer and/or Director (Florida nonprofit corporations must list at least 3 directors)

| Title(s)<br>1 | Name of Officers<br>and/or Directors<br>2 | Street Address of Each<br>Officer and/or Director<br>3 | City / State / Zip<br>4 |
|---------------|-------------------------------------------|--------------------------------------------------------|-------------------------|
| CEO           | NICHOLAS, FREDERICK S                     | 825 3RD AVE                                            | NEW YORK NY 10022       |
| P             | DAVIS, SCOTT K                            | 215 GATEWAY RD W                                       | NAPA CA 94558           |
| SVP           | COONEY, JOHN                              | 215 GATEWAY RD W<br><b>SEE ATTACHED</b>                | NAPA CA 94558           |
| SSCO          | WETMORE, THOMAS L                         | 215 GATEWAY RD W                                       | NAPA CA 94558           |
| TC            | SANKISON, ELLA                            | 215 GATEWAY RD W                                       | NAPA CA 94558           |
| D             | NATTS, ROBERT H                           | 200 CLARENDON ST                                       | BOSTON MA 02117         |

8. Name and Address of Current Registered Agent

NATIONAL CORPORATE RESEARCH, LTD., INC.  
103 N. MERIDIAN STREET  
TALLAHASSEE FL 32301

9. Name and Address of New Registered Agent

Name

Street Address (P.O. Box Number is Not Acceptable)

Suite, Apt. #, Etc.

City

State

FL

Zip Code

10. I, being appointed the registered agent of the above named corporation, am familiar with and accept the obligations of Section 607.0505, F.S. or 617.0505, F.S.

Signature of  
Registered Agent

*Cynthia A. Helle*  
**SIGNATURE REQUIRED**  
Asst. Secretary REGISTERED AGENT MUST SIGN

600009374376  
12/05/02--01025--019 \*\*750.00  
Date 12-5-02

11. I certify that I am an officer or director or the receiver or trustee empowered to execute this application as provided for in chapter 607 or 617, F.S. I further certify that when filing this reinstatement application, the reason for dissolution has been eliminated, the corporate name satisfies the requirements of section 607.0401 or 617.0401, F.S., that all fees owed by the corporation have been paid and the names of individuals listed on this form do not qualify for an exemption under section 119.07(3)(i), F.S. The information indicated on this application is true and accurate, and my signature shall have the same legal effect as if made under oath.

SIGNATURE:

*John Cooney*  
**SIGNATURE REQUIRED**  
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

11/21/02

Date

(212) 371-0303

Daytime Phone #

CR2EM40 (8/02)

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**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<br>New York, NY 10022  | Chairman / CEO / President / Chief Compliance Officer                                |
| John M. Cooney            | 215 Gateway Road West<br>Napa, CA 94558 | Senior Vice President / Chief of Operations                                          |
| Ella Sankisov             | 215 Gateway Road West<br>Napa, CA 94558 | Vice President / Treasurer / Controller / Financial and Operations Principal         |
| Carol A. Troxclair        | 215 Gateway Road West<br>Napa, CA 94558 | Vice President / Senior Compliance Officer / Manager of Licensing, Registration & CE |
| Margaret Geddes           | 215 Gateway Road West<br>Napa, CA 94558 | Secretary                                                                            |

**Directors:**

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