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

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

DOCUMENT #

F94000000770



03-10-2003 90166 007 ***150.00 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 2. Principal Place of Business 3. Mailing Address Suite, Apt. #, etc. Suite, Apt. #, etc. ☐ CHECK HERE IF MAKING CHANGES City & State City & State 4. FEI Number Applied For 13-3536697 Not Applicable Zip Zip Country Country \$8.75 Additional 5. Certificate of Status Desired Fee Required 7. Name and Address of New Registered Agent 6. Name and Address of Current Registered Agent Name NATIONAL CORPORATE RESEARCH, LTD. TINC. Street Address (P.O. Box Number is Not Acceptable) 103 N. MERIDIAN STREET TALLAHASSEE FL 32301-0000 City Zin 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 9. Election Campaign Financing \$5.00 May Be After May 1, 2003 Fee will be \$550.00 Trust Fund Contribution. Added to Fees Make Check Payable to Florida Department of State ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11 OFFICERS AND DIRECTORS 10. Chairman I CEO President Directors Change TITI F TITLE ' CEOD ☐ Delete NICHOLAS, FREDERICK S NAME NAME STREET ADDRESS **825 3RD AVE** STREET ADDRESS CITY-ST-ZIP CITY-ST-ZIP NEW YORK NY 10022 Addition TITLE ☐ Change TITI F Delete NAME DAVIS, SCOTT K STREET ADDRESS STREET ADDRESS 215 GATEWAY RD W CITY-ST-ZIP CITY-ST-ZIP NAPA CA 94558 ☐ Delete TITLE ☐ Change Addition TITLE NAME NAME COONEY, JOHN STREET ADDRESS STREET ADDRESS 215 GATEWAY RD W. CITY-ST-ZIP CITY-ST-ZIP NAPA CA 94558 ☐ Addition Delete TITLE ☐ Change TITLE SSCO NAME NAME WETMORE, THOMAS L STREET ADDRESS STREET ADDRESS 215 GATEWAY RD W CITY-ST-ZIP CITY-ST-ZIP NAPA CA 94558 ☐ Change ☐ Addition ☐ Delete TITLE TITLE TC NAME NAME SANKISON, ELLA STREET ADDRESS STREET ADDRESS 215 GATEWAY RD W CITY-ST-ZIP CITY-ST-ZIP NAPA CA 94558 ☐ Addition Change TITLE ☐ Delete TITLE WATTS, ROBERT H. NAME NAME NATTS, ROBERT H STREET ADDRESS STREET ADDRESS

12. I hereby certify that the information supplied with this filling 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.

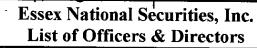
CITY-ST-ZIP

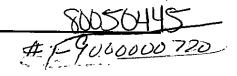
SIGNATURE:

200 CLARENDON ST

BOSTON MA 02117







Name	Business Address	Title
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