

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

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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**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

13-3536697

Applied For

Not Applicable

5. Certificate of Status Desired ☐

**\$8.75 Additional
Fee Required**

☐ CHECK HERE IF MAKING CHANGES



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

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

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

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

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

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:

Signature of Robert H. Watts
SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

2/18/03

(707) 258-5000

Date

Daytime Phone #

CR2E034 (10/02)

Attachment
Essex National Securities, Inc.
List of Officers & Directors

80056445
F9060000 720

<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