

2001 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # P22111

1. Entity Name
ESSEX FINANCIAL SERVICES, INC.

FILED

01 OCT 16 AM 10:20

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

Principal Place of Business
825 THIRD AVENUE
37TH FLOOR
NEW YORK NY 10022
US

Mailing Address
825 THIRD AVENUE
37TH FLOOR
NEW YORK NY 10022
US

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 13-3283420

Applied For
Not Applicable

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

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

(NOTE: Registered Agent signature required when re-registering)

DATE

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☐

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 THIRD AVE 37TH FLR
NEW YORK NY 10022 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
LS
400004657284-3
-10/29/01--01083--007
****150.00 ****150.00 ☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
D
STUDLEY, MICHAEL H
200 CLARENDON ST
BOSTON MA 02117 ☐ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
SVP
ZYTOWICZ, GREGORY G
825 THIRD AVE., 37TH FL
NEW YORK NY 10022 ☐ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
TC
LANTHIER, ELISA M
825 THIRD AVENUE, 37TH FL
NEW YORK NY 10022 ☒ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
D
VAN LEER, MICHELLE G
200 CLARENDON ST
BOSTON MA 02117 ☐ Delete

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

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
EVP
WADE, WILLIAM N
101 BRADFORD RD., STE. 200
WEXFORD PA 15090 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
SEE ATTACHED ☐ Change ☐ 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:

[Signature]

1/30/01

(202)371-0303

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Essex Corporation
List of Officers & Directors

<i>Name</i>	<i>Address</i>	<i>Title</i>
Kathleen M. Graveline	200 Clarendon Street Boston, MA 02117	Chairman
Kevin E. Crowe	825 Third Avenue New York, NY 10022	Chief Executive Officer
Frederick S. Nicholas III	825 Third Avenue New York, NY 10022	President
William N. Wade	101 Bradford Road, Suite 200 Wexford, PA 15090	Executive Vice President - New Business Development
Gregory G. Zytkowicz	825 Third Avenue New York, NY 10022	Senior Vice President - Operations/ Assistant Secretary
Scott K. Davis	215 Gateway Road West Napa, CA 94558	Vice President
Thomas L. Wetmore	215 Gateway Road West Napa, CA 94558	Vice President / Chief Compliance Officer
Timothy M. Stoddart	825 Third Avenue New York, NY 10022	Vice President
Bruce C. McCulloch	215 Gateway Road West Napa, CA 94558	Vice President
George R. Daoust	825 Third Avenue New York, NY 10022	Vice President / Treasurer/Controller
Kathy L. Glass	215 Gateway Road West Napa, CA 94558	Vice President
Antoinette Ricci	200 Clarendon Street Boston, MA 02117	Secretary
Elizabeth A. Clark	200 Clarendon Street Boston, MA 02117	Assistant Secretary

Directors

Kevin E. Crowe	825 Third Avenue New York, NY 10022	Director
John T. Farady	200 Clarendon Street Boston, MA 02117	Director
Kathleen M. Graveline	200 Clarendon Street Boston, MA 02117	Director
Peter Mawn	200 Clarendon Street Boston, MA 02117	Director
Frederick S. Nicholas III	825 Third Avenue New York, NY 10022	Director

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Essex Corporation
List of Officers & Directors

Eric A. Simonson	200 Clarendon Street Boston, MA 02117	Director
Michael H. Studley	200 Clarendon Street Boston, MA 02117	Director
Michelle G. Van Leer	200 Clarendon Street Boston, MA 02117	Director
Robert F. Walters	200 Clarendon Street Boston, MA 02117	Director
James Schmidt	200 Clarendon Street Boston, MA 02117	Director

October 15, 2001

Department of State
Division of Corporations
409 East Gaines St.
Tallahassee, FL 32399

Re: Essex Financial Services, Inc.

To Whom It May Concern:

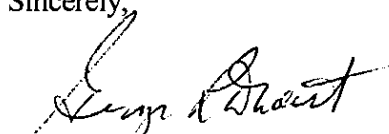
Enclosed please find a check for the amount of \$150.00 made payable to the Department of State in regards to the filing of the 2001 Annual Report. We had originally sent in our application along with a check made payable to National Corporate Research, Ltd., which is our registered agent, on February 1, 2001.

On February 15th, your files show that the check had been mailed back to 825 Third Avenue, however we have no record of receiving it. I had placed a stop payment on check # 11305 today, October 15th and reissued check # 14465.

After speaking with one of your representatives, Marie J., she said we would not have to go through the process of reinstatement, nor would we receive any late filing fees. Enclosed please find all paperwork regarding this matter for your files.

If you should have any questions, please feel free to contact me at (212) 371-0303.

Sincerely,



George R. Daoust
Controller / Vice President

Enc.