



State of Rhode Island
and Providence Plantations
Office of the Secretary of State

A. Ralph Mollis, Secretary of State
Corporations Division
148 W. River Street
Providence, RI 02904-261
401.222.304

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2009

Filing Period: January 1 - March 1 • **Filing Fee:** \$50.00* • **THIS REPORT MUST BE TYPED OR PRINTED LEGIBLY IN BLACK INK.**

* In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.

1. Corporate ID No. **37030** 2. Name of Corporation **H.G. WELLINGTON & CO. INC.**

3. Street Address Principal Business Office **140 BROADWAY** City **NEW YORK** State **NY** Zip **10005**

4. Business Phone No. **212-732-6800** 5. State of Incorporation **DELAWARE**

6. Brief Description of the Character of Business Conducted in Rhode Island
STOCKBROKER/DEALER

7. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS
President Name **THOMAS W. GRANT** Vice President Name **JOSEPH N. CEMBROLA** (NO ATTACHMENT RECEIVED mnc)

Street Address **CEDAR RIDGE ROAD** Street Address **12 TIMBERLINE DRIVE**
City **OYSTER BAY** State **NY** Zip **11771** City **HOWELL** State **NJ** Zip **07731**

Secretary Name **LAURENCE A. SHADEK** Treasurer Name **JOHN P. O'BRIEN**
Street Address **14 GLEN GOIN, BOX 436** Street Address **132 SOUTH MOUNTAINVIEW AVE.**
City **ALPINE** State **NJ** Zip **07620** City **PEARL RIVER** State **NY** Zip **10965**

8. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) FILL IN SPACES BEFORE USING ATTACHMENTS

Director Name **PAUL I. GULDEN, JR.** Director Name **PETER J. LAGEMANN**
Street Address **31 BOWNE ROAD** Street Address **CHERRY VALLEY ROAD**
City **LOCUST** State **NJ** Zip **07760** City **GREENWICH** State **CT** Zip **06830**

Director Name **MARK P. SPERRY** Director Name **CHARLES H. WELLINGTON**
Street Address **167 CANTITOE RD** Street Address **140 LINDEN FARMS ROAD**
City **KATONAH** State **NY** Zip **10536** City **LOCUST VALLEY** State **NY** Zip **11560**

9. SHARES AUTHORIZED 10. SHARES ISSUED ("X" BOX FOR ATTACHMENT)

Number of Shares	Class/Series	Par Value
121,256	COMMON	1.00

This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.

This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

File Date 1-29-09
Check No. 050280
By: mnc
FOR SECRETARY OF STATE USE ONLY

Under penalty of perjury, I declare and affirm that I have examined this report including any accompanying schedules and statements, and that all statements contained herein are true and correct.
Signature Joseph Cembrola Date 1/27/09
Print or Type Name **JOSEPH CEMBROLA**
SR. V.P. OPERATIONS
Title