



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.
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3. Street Address Principal Business Office 140 BROADWAY	City NEW YORK	State NY	Zip 10005
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4. Business Phone No. 212-732-6800	5. State of Incorporation DELAWARE
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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
Street Address CEDAR RIDGE ROAD	Street Address 12 TIMBERLINE DRIVE
City OYSTER BAY State NY Zip 11771	City HOWELL State NJ Zip 07731

(NO ATTACHMENT RECEIVED mnc)

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
JOSEPH CEMBROLA
Print or Type Name
SR. V.P. OPERATIONS
Title