



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

**Fee: \$50.00**

Corporations Division  
148 W. River Street  
Providence, Rhode Island 02904-2615  
Telephone: (401) 222-3040

**Foreign Business Corporation  
Annual Report**

*Filing Period: January 1 - March 1*

*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.*

**ANNUAL REPORT YEAR:** 2009

**1. Corporate ID No.** 000145984

**2. Name of Corporation** First Southwest Company

**3. Street Address Principal Business Office:**

No. and Street: 325 NORTH SAINT PAUL STREET, SUITE 800

City or Town: DALLAS

State: TX Zip: 75201 Country: USA

**4. Business Phone No.**

214-953-4000

**5. State of Incorporation**

State: DE

**6. Brief Description of the Character of Business Conducted in Rhode Island**

PROVIDE FINANCIAL ADVISORY SERVICES

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

| <b>Title</b>   | <b>Individual Name</b><br>First, Middle, Last, Suffix | <b>Address</b><br>Address, City or Town, State, Zip Code, Country |
|----------------|-------------------------------------------------------|-------------------------------------------------------------------|
| PRESIDENT      | HILL A FEINBERG                                       | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201- USA   |
| VICE PRESIDENT | DAVID A COMMONS                                       | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| SECRETARY      | NANCY A THOMAS                                        | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| TREASURER      | JOSEPH L BRAWNER                                      | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| DIRECTOR       | HILL A FEINBERG                                       | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| DIRECTOR       | MICHAEL G BARTOLOTTA                                  | 1021 MAIN STREET, SUITE 2200<br>HOUSTON, TX 77002 USA             |
| DIRECTOR       | PAUL M BASS                                           | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| DIRECTOR       | ANNE BURGER ENTREKIN                                  | 70 NORTHEAST LOOP 410, SUITE 710<br>SAN ANTONIO, TX 78216 USA     |
| DIRECTOR       | MICHAEL J MARZ                                        | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |
| DIRECTOR       | DAVID K MEDANICH                                      | 777 MAIN STREET, SUITE 1200<br>FORT WORTH, TX 76102 USA           |
| DIRECTOR       | HENRY SAUER JR                                        | 1021 MAIN STREET, SUITE 2200<br>HOUSTON, TX 77002 USA             |
| DIRECTOR       | MAUREEN E GURGHIGIAN                                  | 12 BREAKNECK HILL ROAD, SUITE 200<br>LINCOLN, RI 02865 USA        |
| DIRECTOR       | WAYNE B PLACIDE                                       | 325 NORTH SAINT PAUL STREET, SUITE 800<br>DALLAS, TX 75201 USA    |

#### 8. Shares Authorized and Issued

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized Shares<br><i>Number of Shares</i> | Total Issued and Outstanding<br><i>Num of Shares</i> |
|----------------|-----------------|---------------------|----------------------------------------------------|------------------------------------------------------|
| CWP            |                 | \$0.01              | 500.00                                             | 500                                                  |

**9. 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.**

**Signed this 26 Day of February, 2009 at 10:56:08 AM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By DAVID A COMMONS  
Signature of Authorized Representative of the Corporation

VICE PRESIDENT, CFO

Title

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

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