



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

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(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: 2011

1. Corporate ID No. 000306519

2. Name of Corporation FIRST ALLIED SECURITIES, INC.

3. Street Address Principal Business Office:

No. and Street: 655 W. BROADWAY, 11TH FLOOR

City or Town: SAN DIEGO

State: CA Zip: 92101 Country: USA

4. Business Phone No.

6197029600

5. State of Incorporation

State: NY

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

SECURITIES BROKER/DEALER AND INSURANCE

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

| Title | Individual Name First, Middle, Last, Suffix | Address Address, City or Town, State, Zip Code, Country |
|---------------------|---|---|
| PRESIDENT | ADAM ANTONIADES | 665 W BROADWAY, 11TH FLOOR SAN DIEGO, CA 92101 USA |
| SECRETARY | ROBERT MOSES | 565 FIFTH AVENUE, 20TH FLOOR NEW YORK, NY 10017 USA |
| CFO | ROBERT MILBURN | 655 W BROADWAY, 11TH FLOOR SAN DIEGO, CA 92101 USA |
| ASSISTANT SECRETARY | TIY ONEAL | 655 W BROADWAY, 11TH FLR SAN DIEGO, CA 92101 USA |
| DIRECTOR | ADAM ANTONIADES | 655 W BROADWAY, 11TH FLOOR SAN DIEGO, CA 92101 USA |
| DIRECTOR | ROBERT MOSES | 565 FIFTH AVENUE, 20TH FLOOR NEW YORK, NY 10017 USA |
| DIRECTOR | GREGG GLASER | 1227 MALL DRIVE RICHMOND, VA 23235 USA |
| DIRECTOR | JOEL MARKS | 199 ST. NICHOLAS CIRCLE ATLANTA, GA 30327 USA |

8. Shares Authorized and Issued

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized Shares <i>Number of Shares</i> | Total Issued and Outstanding <i>Num of Shares</i> |
|----------------|-----------------|---------------------|--|--|
| CWP | | \$0.01 | 1,500,000.00 | 1500 |
| PWP | | \$0.01 | 500,000.00 | 0 |

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 3 Day of January, 2011 at 5:49:43 PM. *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 MARION VOMHOF
Signature of Authorized Representative of the Corporation

ASSOCIATE GENERAL COUNSEL
Title

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

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