



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. 000035569

2. Name of Corporation GWFS Equities, Inc.

3. Street Address Principal Business Office:

No. and Street: 8515 EAST ORCHARD ROAD

City or Town: GREENWOOD VILLAGE

State: CO

Zip: 80111

Country: USA

4. Business Phone No.

303-737-3000

5. State of Incorporation

State: DE

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

BROKER/DEALER

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
TREASURER	GLEN R DERBACK	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
SECRETARY	BEVERLY A BYRNE	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
PRESIDENT	CHARLES P NELSON	8515 EAST ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	CHRIS H CUMMING	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	MILES R EDWARDS	8515 E ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	WILLIAM S HARMON	8515 E ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	J. CHRIS LUTTGES	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
COMPLIANCE OFFICER	TERESA L LUIZ	8515 E ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	GREGORY E SELLER	18111 VON KARMAN AVE #560 IRVINE, CA 92612 USA
VICE PRESIDENT	JUDITH G GIBBS	8515 E ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	MARY C MAIERS	8515 E ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
VICE PRESIDENT	STEPHANIE BENDRICK	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
DIRECTOR	STEPHANIE BENDRICK	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
DIRECTOR	CHARLES P NELSON	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
DIRECTOR	GREGG E SELLER	18101 VON KARMAN AVE #560 IRVINE, CA 92612 USA
DIRECTOR	ROBERT K SHAW	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 USA
DIRECTOR	WILLIAM S HARMON	8515 E. ORCHARD ROAD GREENWOOD VILLAGE, CO 80111 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>
CNP		\$0.00	10,000.00	4000

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 12 Day of January, 2011 at 1:33:15 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 BEVERLY A. BYRNE
Signature of Authorized Representative of the Corporation

SECRETARY
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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