



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. 000541210

2. Name of Corporation 1851 Securities, Inc.

3. Street Address Principal Business Office:

No. and Street: ONE AMERICAN ROW

City or Town: HARTFORD

State: CT

Zip: 06102

Country: USA

4. Business Phone No.

8604035361

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
ASSISTANT SECRETARY	KATHLEEN A. MCGAH	ONE AMERICAN ROW HARTFORD, CT 06102 USA
SECOND VICE PRESIDENT	JEANIE G. GAGNON	ONE AMERICAN ROW HARTFORD, CT 06102 USA
ASSISTANT TREASURER	ANNE M. KAPLAN	ONE AMERICAN ROW HARTFORD, CT 06102 USA
DIRECTOR - TAX AND ASSISTANT TREASURER	ABBEY N. MCDERMOTT	ONE AMERICAN ROW HARTFORD, CT 06102 USA
SENIOR VICE PRESIDENT	GINA C. OCONNELL	ONE AMERICAN ROW HARTFORD, CT 06102 USA
PRESIDENT AND CHIEF EXECUTIVE OFFICER	PHILIP K. POLKINGHORN	ONE AMERICAN ROW HARTFORD, CT 06102 USA
VICE PRESIDENT AND SECRETARY	JOHN H. BEERS	ONE AMERICAN ROW HARTFORD, CT 06102 USA
SENIOR VICE PRESIDENT AND ASSISTANT SECRETARY	JOHN T. MULRAIN	ONE AMERICAN ROW HARTFORD, CT 06102 USA
ASSISTANT VICE PRESIDENT AND TREASURER	SUSAN L. GUZZELLI	ONE AMERICAN ROW HARTFORD, CT 06102 USA
ASSISTANT VICE PRESIDENT AND CHIEF COMPLIANCE OFFICER	KATHERINE E. STORCH	ONE AMERICAN ROW HARTFORD, CT 06102 USA
DIRECTOR	THOMAS M. BUCKINGHAM	ONE AMERICAN ROW HARTFORD, CT 06102 USA
DIRECTOR	BONNIE J. MALLEY	ONE AMERICAN ROW HARTFORD, CT 06102 USA
DIRECTOR	GINA C. OCONNELL	ONE AMERICAN ROW HARTFORD, CT 06102 USA
DIRECTOR	PHILIP K. POLKINGHORN	ONE AMERICAN ROW HARTFORD, CT 06102 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	5,000.00	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 25 Day of February, 2011 at 3:01:22 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 JOHN H. BEERS

Signature of Authorized Representative of the Corporation

VICE PRESIDENT AND 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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