



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. 000082985

2. Name of Corporation ESSEX NATIONAL SECURITIES, INC.

3. Street Address Principal Business Office:

No. and Street: 550 GATEWAY DRIVE, SUITE 210

City or Town: NAPA

State: CA Zip: 94558 Country: USA

4. Business Phone No.

707-258-5000

5. State of Incorporation

State: NY

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

TO PROVIDE SECURITIES BROKERAGE SERVICES TO THE GENERAL PUBLIC THROUGH NETWORKING RELATIONSHIPS WITH FINANCIAL INSTITUTIONS NATIONWIDE.

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	SCOTT K DAVIS	550 GATEWAY DRIVE, STE 210 NAPA, CA 94558 USA
TREASURER	JOHN M. COONEY	550 GATEWAY DRIVE, STE 210 NAPA, CA 94558 USA
SECRETARY	KAREN ALTON	550 GATEWAY DRIVE, SUITE 210 NAPA, CA 94558 USA
DIRECTOR	ROBERT H WATTS	87 LINCOLN ROAD WAYLAND, MA 01718 USA
DIRECTOR	JOHN BENSON PORTER	3408 HILLVIEW AVENUE PALO ALTO, CA 94303 USA
DIRECTOR	JOHN C, WEIDERT	14065 ARNERICH ROAD LOS GATOS, CA 95832 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	200.00	200

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 2 Day of May, 2011 at 6:42:13 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 KAREN ALTON
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