



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: 2016

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, 12TH FLOOR

City or Town: SAN DIEGO

State: CA Zip: 92101 Country: USA

4. Business Phone No.

320-656-4003

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	KEVIN KEEFE	655 W. BROADWAY, 12TH FLOOR SAN DIEGO, CA 92101 USA
TREASURER	MARK P. SHELSON	655 W. BROADWAY, 12TH FLOOR SAN DIEGO, CA 92101 USA
CFO	JANICE DOZA	15455 CONWAY ROAD CHESTERFIELD, MO 63017 USA
VICE PRESIDENT	MARY CHRISTINE BROCKLAND	655 W. BROADWAY, 12TH FLOOR SAN DIEGO, CA 92101 USA
VICE PRESIDENT	GARRETT MERRILL	655 W. BROADWAY, 12TH FLOOR

		SAN DIEGO, CA 92101 USA
ASSISTANT SECRETARY	SHANNON CONDRA	655 W. BROADWAY, 12TH FLOOR SAN DIEGO, CA 92101 USA
CCO	DONNA BARTLETT	655 W. BROADWAY, 12TH FLOOR SAN DIEGO, CA 92101 USA
DIRECTOR	ADAM ANTONIADES	655 W BROADWAY, 11TH FLOOR SAN DIEGO, CA 92101 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		\$0.0100	1,500,000.00	100
PWP		\$0.0100	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 2 Day of February, 2016 at 5:01:46 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 MARK P SHELSON
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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