



**State of Rhode Island
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: February 1 - May 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: 2023

1. Corporate ID No. 000057893

2. Name of Corporation Concourse Financial Group Securities, Inc.

3. Street Address Principal Business Office:

No. and Street: 2801 HIGHWAY 280 SOUTH

City or Town: BIRMINGHAM State: AL Zip: 35223 Country: USA

4. Business Phone No.

2052681000

5. State of Incorporation

State: AL

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

524210

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

BROKER AND DEALER OF SECURITIES

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
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PRESIDENT	ELIZABETH ANDERSON	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
SECRETARY	DARREN C. GUERRERA	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA
CEO, COO DISTRIBUTION COMPANIES	DAVID A PERRY	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA
ASSISTANT SECRETARY	FELICIA M LEE	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
SVP, CORPORATE TAX	MALCOLM LEE BARTLETT	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
VP INSTITUTIONAL SALES MANAGER, PROTECTIVE SECU	DAVID M BROWN	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
ASSISTANT SECRETARY	KIMBERLY B COLLAZO	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
VP AND MANAGING DIRECTOR OF PROTECTIVE SECURITIES	RORY HARTLEY	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
ASSISTANT SECRETARY	KATIE KIMBRELL	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
VP AND CHIEF COMPLIANCE OFFICER	HAROLD B MILLER	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
SVP	DAVID A PERRY	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
CFO AND FINANCIAL OPERATIONS PRINCIPAL	DARREN C GUERRERA	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
ASSISTANT SECRETARY	MEGAN P RICHARDS	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
CISO	ALLEN T THOMPSON	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
SVP, ANNUITY SALES	JAMES WAGNER	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
DIRECTOR	DAVID A PERRY	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
DIRECTOR	BARBARA N PUGH	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
DIRECTOR	AARON C SEURKAMP	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
DIRECTOR	ELIZABETH ANDERSON	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
DIRECTOR	BRAD MENDENHALL	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA
DIRECTOR	JAMES WAGNER	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per	Total Authorized Shares	Total Issued and
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		Share		Outstanding
			<i>Number of Shares</i>	<i>Num of Shares</i>
CWP		\$1.0000	250,000.00	114408

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 4 Day of April, 2023 at 9:57:51 AM. *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 DARREN C. GUERRERA

Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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