



**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.** 000306519

**2. Name of Corporation** FIRST ALLIED SECURITIES, INC.

**3. Street Address Principal Business Office:**

No. and Street: 655 W BROADWAY  
11TH FLOOR

City or Town: SAN DIEGO State: CA Zip: 92101 Country: USA

**4. Business Phone No.**

8664893100

**5. State of Incorporation**

State: NY

**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.

523120

**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.**

<b>Title</b>	<b>Individual Name</b> First, Middle, Last, Suffix	<b>Address</b> Address, City or Town, State, Zip Code, Country
PRESIDENT	BRETT HARRISON	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
TREASURER	JANANI IYENGAR	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
SECRETARY	LISA GOK	2301 ROSECRANS AVE, STE 5100 EL SEGUNDO, CA 90245 USA
TAX OFFICER	GARY CHAFFIN	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
VICE PRESIDENT	JOSEPH NEARY	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
ASSISTANT SECRETARY	DAVID VAN HAVERMAAT	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
DIRECTOR	JOSEPH NEARY	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
DIRECTOR	BRETT HARRISON	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 USA
DIRECTOR	THOMAS TAYLOR	2301 ROSECRANS AVE EL SEGUNDO, CA 90245 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	1000000
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 4 Day of April, 2023 at 3:52:53 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 GARY CHAFFIN

Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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