



**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 - ENTER THE CURRENT YEAR 2025: 2025

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

NAICS CODE

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	JAMES WAGNER	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA
SECRETARY	DARREN C. GUERRERA	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 USA
CEO	JAMES WAGNER	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
ASSISTANT SECRETARY	KIMBERLY B COLLAZO	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
CISO	JUSTIN T. ALLEN	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
SVP	JAMES WAGNER	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
CHIEF DISTRIBUTION OFFICER	JAMES WAGNER	2801 HIGHWAY 280 S BIRMINGHAM, AL 35223 USA
VP AND CHIEF COMPLIANCE OFFICER	HAROLD B MILLER	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
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	JAMES WAGNER	2801 HIGHWAY 280 SOUTH BIRMINGHAM, AL 35223 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		\$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 15 Day of April, 2025 at 10:57:19 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 FELICIA M. LEE
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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