

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

PARP

0793620

Alison Lundergan Grimes

KY Secretary of State

Received and Filed

6/17/2019 10:10:33 AM

Fee receipt: \$15.00

Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**Annual Report  
Online Filing**

**ARP**

**Company:** FIRST ALLIED SECURITIES, INC.  
**Company ID:** 0793620  
**State of origin:** New York  
**Formation date:** 6/14/2011 12:00:00 AM  
**Date filed:** 6/17/2019 10:10:33 AM  
**Fee:** \$15.00

**Principal Office**

655 W. BROADWAY  
12TH FLOOR  
SAN DIEGO, CA 92101

**Registered Agent Name/Address**

CORPORATION SERVICE COMPANY  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

**Current Officers**

Assistant Secretary	GREG OLSON	200 N PACIFIC COAST HWY STE 1200 EL SEGUNDO CA 90245
Secretary	DONNA BARTLETT	655 W. Broadway, 12th Floor, San Diego CA 92101
Treasurer	Mark P. Shelton	400 1ST ST SOUTH STE 300 ST CLOUD MN 56301
Vice President	GARRETT MERRILL	655 W. Broadway, 12th Floor, San Diego CA 92101

**Directors**

Director	JOSEPH NEARY	200 N PACIFIC COAST HWY STE 1200 EL SEGUNDO CA 90245
Director	BRETT HARRISON	4600 SOUTH SYRACUSE ST STE 600 DENVER CO 80237

Business size:	Large
Business type:	Security & Commodity Brokers, Dealers, Exchanges & Services

**Signatures**

Signature	DANA THOMSEN
Title	TREASURER