

Part 2B of Form ADV: *Brochure Supplement*

Norma Serrano
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This brochure supplement provides information about Norma Serrano that supplements the Essex National Securities, Inc. brochure. You should have received a copy of that brochure. Please contact John Cooney 707-258-5000 if you did not receive Essex National Securities, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Norma Serrano is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Educational Background and Business Experience

Full Legal Name: Norma Serrano

Born: 1964

Education

No post high school education.

Business Experience

- Essex National Securities Inc.; Registered Representative; from 08/2010 to Present
- Wells Fargo Investments LLC; Private Banker; from 03/2002 to 08/2010

Item 3 Disciplinary Information

Norma Serrano has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

1. Norma Serrano is also engaged in the following investment-related activities:

Registered representative of a broker-dealer

Individual is a registered representative with Essex National Securities, Inc., a registered broker-dealer, member FINRA and SIPC. In this capacity, the representative may recommend investment products and receive transaction commissions if products are purchased through the broker-dealer. Thus, a conflict of interest exists between the interests of registered representative and those of the advisory clients, creating an incentive for representative to recommend investment products based on the compensation received, rather than on a client's needs.

However, clients are under no obligation to act upon any recommendations of registered representative or to effect any transactions through him if they decide to follow the recommendations (unless they have granted our firm discretionary investment authority). Representative does not limit his recommendations to products or services offered by the broker-dealer and ensures that all recommendations are appropriate for a client's specific needs. Clients have the

option to purchase investment products recommended through other broker-dealers not affiliated with this representative.

Insurance company or agency

Representative is an insurance broker with various insurance companies. In this capacity, your representative may recommend insurance products and receive normal insurance transaction commissions if products are purchased through insurance companies with which he is affiliated. Thus, a conflict of interest exists between the interests of your representative and those of the advisory clients, creating an incentive for him to recommend investment and insurance products based on the compensation received, rather than on a client's needs. However, clients are under no obligation to act upon any recommendations of the representative or to effect any transactions through him if they decide to follow the recommendations (unless they have granted our firm discretionary investment authority).

Your Advisor does not limit his recommendations to products or services offered by specific insurance companies and ensures that all recommendations are appropriate for a client's specific needs. Clients have the option to purchase investment and insurance products recommended through other insurance companies.

2. Norma Serrano does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

B. Non Investment-Related Activities

Norma Serrano is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

Item 5 Additional Compensation

Norma Serrano does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor: Kendra Cain

Title: Registered Principal

Phone Number: 337-521-4148

Ms. Kendra Cain is responsible for all supervision and monitoring of investment advice offered to clients by the representative. She can be reached at 337-521-4148. The underlying securities within accounts are continually monitored by Ms. Cain. Ms. Cain reviews these accounts at least quarterly. Accounts are reviewed in the context of each client's stated investment objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, political or economic environment.

Item 7 Requirements for State-Registered Advisers

Ms. Serrano has never been the subject of a bankruptcy petition nor has she ever been involved in any of the following events:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.