FILE NOW: FILING FEE AFTER MAY 1 IS $550.00

FILED
Jun 11 1997 8:00am
Secretary of State

PROFIT CORPORATION ANNUAL REPORT **1997**

FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

DOCUMENT # 851107 (3)

1. Corporation Name

DOMINICK & DOMINICK INCORPORATED

Principal Place of Business / Mailing Address

Financial Square
32 Old Slip
New York, NY 10005

3. Date Incorporated or Qualified: 11-25-1981	3a. Date of Last Report: 01-29-96
4. FEI Number: 13-2869428	☐ Applied For ☐ Not Applicable
5. Certificate of Status Desired ☐	$8.75 Additional Fee Required
6. Election Campaign Financing Trust Fund Contribution ☐	$5.00 May Be Added to Fees
8. This corporation has liability for intangible tax under s. 199.032, Florida Statutes ☒ Yes ☐ No	

2. Principal Place of Business	2a. Mailing Address
21 Financial Sq.-32 Old Slip	26 Financial Sq.-32 Old Slip
Suite, Apt. #, etc. 22 34 Floor	Suite, Apt. #, etc. 27 34 Floor
City & State 23 New York NY	City & State 28 New York NY
Zip 24 10005 Country 25 USA	Zip 29 10005 Country 30 USA

9. Name and Address of Current Registered Agent

CT CORPORATION SYSTEM
1200 S. PINE ISLAND ROAD
PLANTATION FL 33324

10. Name and Address of New Registered Agent

81 Name

82 Street Address (P.O. Box Number is Not Acceptable)

83

84 City FL 85 Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE _____ DATE _____
Signature, typed or printed name of registered agent and title if applicable (NOTE: Registered Agent signature required when reinstating)

12. OFFICERS AND DIRECTORS		13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12	
TITLE	President,Director,Secretary ☐ DELETE	1.1 TITLE	☐ Change ☐ Addition
NAME	Paul L. Kennedy	1.2 NAME	
STREET ADDRESS	Financial Square - 32 Old Slip	1.3 STREET ADDRESS	
CITY-ST-ZIP	New York, NY 10005	1.4 CITY-ST-ZIP	
TITLE	EVP,CFO,Director ☐ DELETE	2.1 TITLE	☐ Change ☐ Addition
NAME	Paul Morgante	2.2 NAME	
STREET ADDRESS	Financial Square - 32 Old Slip	2.3 STREET ADDRESS	
CITY-ST-ZIP	New York, NY 10005	2.4 CITY-ST-ZIP	
TITLE	EVP,Director ☐ DELETE	3.1 TITLE	☐ Change ☐ Addition
NAME	Bradley P. Sweeny	3.2 NAME	
STREET ADDRESS	Financial Square - 32 Old Slip	3.3 STREET ADDRESS	
CITY-ST-ZIP	New York, NY 10005	3.4 CITY-ST-ZIP	
TITLE	Vice Chairman ☒ DELETE	4.1 TITLE	☐ Change ☐ Addition
NAME	Henry Glanternik	4.2 NAME	
STREET ADDRESS	Financial Square - 32 Old Slip	4.3 STREET ADDRESS	
CITY-ST-ZIP	New York, NY 10005	4.4 CITY-ST-ZIP	
TITLE	Sr.V.P., Treasurer ☐ DELETE	5.1 TITLE	☐ Change ☐ Addition
NAME	Roseann Tagnani Cook	5.2 NAME	500002213055
STREET ADDRESS	Financial Square - 32 Old Slip	5.3 STREET ADDRESS	-06/16/97--01101--035
CITY-ST-ZIP	New York, NY 10005	5.4 CITY-ST-ZIP	***165.00
TITLE	Sr.V.P., Compliance Dir. ☐ DELETE	6.1 TITLE	☐ Change ☐ Addition
NAME	Robert M. Hladek	6.2 NAME	CS 6/11/97
STREET ADDRESS	Financial Square - 32 Old Slip	6.3 STREET ADDRESS	
CITY-ST-ZIP	New York, NY 10005	6.4 CITY-ST-ZIP	

CR2E034 (9/96)

14. I do hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this annual report or supplemental annual report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 12 or Block 13 if changed, or on an attachment with an address.

SIGNATURE: Robert M. Hladek 06-06-97 (212) 558-8800

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR — Date — Daytime Phone #

Robert M. Hladek, Sr.V.P.-Compliance Director