

F0200000000646

TRANSMITTAL LETTER

TO: Registration Section
Division of Corporations

SUBJECT: SANDS BROTHERS & CO., LTD 2/5
(Name of corporation - must include suffix)

Dear Sir or Madam: 00789-00784-00505-00671 MJH
\$13976.25

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida",
"Certificate of Existence", and check are submitted to register the above referenced foreign corporation
to transact business in Florida.

Please return all correspondence concerning this matter to the following:

WILLIAM A. IOMMI

(Name of Person)

SANDS BROTHERS & CO., LTD

(Firm/Company)

90 PARK AVENUE, 39TH FLOOR

(Address)

NY NY 10016-1401

(City/State and Zip code)

For further information concerning this matter, please call:

MARIA L. MINGUEZ

(Name of Person)

at (212) 697-5200 x 8594
(Area Code & Daytime Telephone Number)

STREET ADDRESS:

Registration Section
Division of Corporations
409 E. Gaines St.
Tallahassee, FL 32399

MAILING ADDRESS:

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

☐ \$70.00 Filing Fee

☒ \$78.75 Filing Fee &
Certificate of Status

☐ \$78.75 Filing Fee &
Certified Copy

☐ \$87.50 Filing Fee,
Certificate of Status &
Certified Copy

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-01/09/02--01047--010
*****78.75 *****78.75

002-1090

02 FEB -5 AM 11:09
FILED
SECRETARY OF STATE
TALLAHASSEE, FLORIDA



FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

January 14, 2002

**WILLIAM A. IOMMI
SANDS BROTHERS & CO., LTD.
90 PARK AVENUE, 39TH FLOOR
NEW YORK, NY 10016-1401**

SUBJECT: SANDS BROTHERS & CO., LTD.
Ref. Number: W02000001090

We have received your document for SANDS BROTHERS & CO., LTD. and your check(s) totaling \$78.75. However, the enclosed document has not been filed and is being returned for the following correction(s):

Pursuant to section 607.1502(4), 617.1502(4) or 608.502(4), Florida Statutes, this office collects a civil penalty of \$1000 for each year this entity transacted business or conducted its affairs in Florida prior to qualification and the appropriate annual report/uniform business report fees that would have been due this office had the entity qualified the year it began operations in this state. The amount due this office to cover both annual report/uniform business report and penalty fees is \$13,976.25.

The corporate name must contain a suffix that will clearly indicate that it is a corporation. Such suffixes include: CORPORATION, CORP., COMPANY, CO., INC., and INCORPORATED.

Please return your document, along with a copy of this letter, within 60 days or your filing will be considered abandoned.

If you have any questions concerning the filing of your document, please call (850) 245-6967.

Michelle Hodges
Document Specialist

Letter Number: 402A00001859



January 24, 2002

Michelle Hodges
Document Specialist
Florida Department of State
PO Box 6327
Tallahassee, FL 32314

Ref. Number: W02000001090

Dear Ms. Hodges:

To clarify the misunderstanding with our original application by foreign corporation for authorization to transact business in Florida, we, Sands Brothers & Co., Ltd, incorrectly submitted the date for lines 6 as June 1990. The correct date that we began effectuating business in the state of Florida was November 2001.

Thank you for pointing this out to us and if you need further assistance please call me at 800-866-6116.

Sincerely,

A handwritten signature in black ink, appearing to read "Mike Caska", written in a cursive style.

Mike Caska
President

R E T U R N  I N N O V A T I O N

90 Park Avenue, New York, NY 10016
212-697-5200 • 800-866-6116 • Fax: 212-697-1096

Sands Brothers & Co., Ltd.
www.sandsbros.com

575 Market Street, San Francisco, CA 94105
415-836-6000 • 888-866-6116 • Fax: 415-543-5581

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT
BUSINESS IN FLORIDA**

IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.

1. SANDS BROTHERS & Co., LTD. INC.
(Name of corporation; must include the word "INCORPORATED", "COMPANY", "CORPORATION" or words or abbreviations of like import in language as will clearly indicate that it is a corporation instead of a natural person or partnership if not so contained in the name at present.)
2. DELAWARE 3. 13.3570873
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. JUNE 1990 5. PERPETUAL
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. JUNE 1990
(Date first transacted business in Florida. If corporation has not transacted business in Florida, insert "upon qualification.")
(SEE SECTIONS 607.1501, 607.1502 and 817.155, F.S.)
7. 90 PARK AVENUE, 39TH FLOOR, NY, NY, 10016-1401
(Principal office address)
- SAME AS ABOVE
(Current mailing address)
8. BROKERAGE
(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)
9. Name and street address of Florida registered agent: (P.O. Box or Mail Drop Box **NOT** acceptable)
- Name: STUART IRZKOWITZ IRZKOWITZ
- Office Address: 2351 EAST HALLENDALE BEACH BLVD
HALLANDALE, Florida 33009
(City) (Zip code)

FILED
02 FEB -5 AM 11:09
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

10. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.


(Registered agent's signature)

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

12. Names and business addresses of officers and/or directors:

A. DIRECTORS

CO-
Chairman: STEVEN B. SANDS / MARTIN J. SANDS
Address: 90 PARK AVENUE, 39TH FLOOR
NEW YORK, NY 10016-1401

Vice Chairman: ROBERT J. BONAVENTURA
Address: 90 PARK AVENUE, 39TH FLOOR
NY NY 10016-1401

Director: _____
Address: _____

Director: _____
Address: _____

B. OFFICERS

President: MICHAEL C. CASKA
Address: 90 PARK AVENUE, 39TH FLOOR
NY NY 10016-1401

Vice President: _____
Address: _____

CO
Secretaries: STEVEN B. SANDS / MARTIN J. SANDS
Address: SAME AS ABOVE

Treasurer: MICHAEL C. CASKA
Address: SAME AS ABOVE

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13. _____
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. MARTIN J. SANDS / STEVEN B. SANDS
(Typed or printed name and capacity of person signing application)

CO. CHAIRMEN, CO. CEOs, CO. SECRETARIES

**State of New York } ss:
Department of State**

I hereby certify, that SANDS BROTHERS & CO., LTD., a DELAWARE corporation, filed an Application for Authority to do business in the State of New York on 06/22/1990, under the name of SANDS BROTHERS MITCHELL & CO. LIMITED. I further certify that so far as shown by the records of this Department, such corporation is still authorized to do business in the State of New York. I further certify the following:

A certificate changing name to SANDS BROTHERS & CO., LTD. was filed on 04/29/1991.

The Biennial Statement is past due.

I further certify, that no other documents have been filed by such Corporation.



*Witness my hand and the official seal
of the Department of State at the City
of Albany, this 24th day of December
two thousand and one.*

Special Deputy Secretary of State