

# F02000002706

## TRANSMITTAL LETTER

TO: Registration Section  
Division of Corporations

SUBJECT: LEBENTHAL ASSET MANAGEMENT, INC.

(Name of corporation - must include suffix)

Dear Sir or Madam:

800005597968--8

-05/22/02--01060--011

\*\*\*\*\*70.00 \*\*\*\*\*70.00

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:

SHARYN BILENKER

(Name of Person)

LEBENTHAL ASSET MANAGEMENT, INC.

(Firm/Company)

120 BROADWAY

(Address)

NEW YORK, NY 10271

(City/State and Zip code)

For further information concerning this matter, please call:

SHARYN BILENKER

(Name of Person)

at ( 212 ) 482-4953

(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

FILED  
02 MAY 22 AM 8:35  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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

5/31/02

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. LEBENTHAL ASSET MANAGEMENT, 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. NEW YORK  
(State or country under the law of which it is incorporated)
3. 13-3752240  
(FEI number, if applicable)
4. JANUARY 24, 1994  
(Date of incorporation)
5. PERPETUAL  
(Duration: Year corp. will cease to exist or "perpetual")
6. UPON QUALIFICATION  
(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. 120 BROADWAY NEW YORK, NY 10271  
(Principal office address)  
120 BROADWAY NEW YORK, NY 10271  
(Current mailing address)
8. INVESTMENT MANAGEMENT  
(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: CORPORATION SERVICE COMPANY  
Office Address: 1201 HAYS STREET  
TALLAHASSEE, Florida 32301  
(City) (Zip code)

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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.*

Camela Simpson, Authorized Representative  
(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

Chairman: Alexandra Leberthal

Address: 120 Broadway  
New York, NY 10271

Vice Chairman: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

B. OFFICERS

President: Gregory W. Serbe

Address: 120 Broadway  
New York, NY 10271

Vice President: \_\_\_\_\_

Address: \_\_\_\_\_

Secretary: Paula Tobin

Address: 120 Broadway New York, NY 10271

Treasurer: James McGrath

Address: 120 Broadway New York, NY 10271

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

13. Gregory W. Serbe

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

14. GREGORY W. SERBE, PRESIDENT

(Typed or printed name and capacity of person signing application)

State of New York  
Department of State } ss:

I hereby certify, that the Certificate of Incorporation of LEBENTHAL ASSET MANAGEMENT, INC. was filed on 01/21/1994, with perpetual duration, and that a diligent examination has been made of the Corporate index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is a subsisting corporation.

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Witness my hand and the official seal  
of the Department of State at the City  
of Albany, this 15th day of May  
two thousand and two.



Special Deputy Secretary of State

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02 MAY 22 AM 8:35  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA