

F03000001653

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

(Document Number)

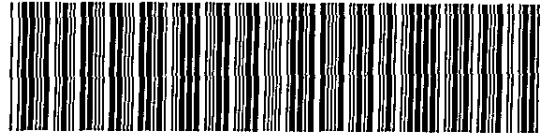
Certified Copies _____

Certificates of Status _____

Special Instructions to Filing Officer:

Adm - 1950

Office Use Only



200013337622

03/07/03--01050--001 **78.75

04/03/03--01017--006 **1950.00

FILED
03 APR -2 AM 8 50
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

BN



FLORIDA DEPARTMENT OF STATE
Glenda E. Hood
Secretary of State

March 12, 2003

LANA C. PUCKORIUS
PUCKORIUS & ASSOCIATES, INC.
320 U.S. HIGHWAY 27 N., STE. D
AVON PARK, FL 33825

SUBJECT: PUCKORIUS & ASSOCIATES, INC.
Ref. Number: W03000007068

FILED
APR 2 11 08 AM
TALLAHASSEE, FLORIDA

We have received your document for PUCKORIUS & ASSOCIATES, INC. and your check(s) totaling \$78.75. However, the document has not been filed and is being retained in this office for the following:

Please note that we have also retained your \$78.75 payment.

You must submit a CERTIFICATE OF EXISTENCE from Virginia dated within the past 90 days.

Also, please sign the copy of the second page we have returned.

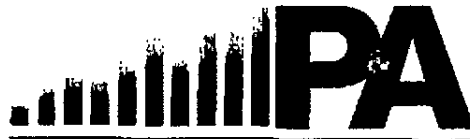
And if the corporation began transacting business in Florida in July 2000, as stated in your application, then penalty fees are owed.

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 \$3,450.00.

If you have any questions concerning the filing of your document, please call (850) 245-6914.

Buck Kohr
Corporate Specialist

Letter Number: 203A00015552



PUCKORIUS & ASSOCIATES, INC
REGISTERED INVESTMENT ADVISOR

320 U.S. Highway 27 N. Suite D • Avon Park, FL 33825
Phone 863-453-7737 • Fax 863-453-7271

03 APR -2 PM 8:50
FILED
TALLAHASSEE, FLORIDA

March 26, 2003

Ms. Gretchen Harvey
Florida Department of State
Division of Corporations
P. O. Box 6327
Tallahassee, Florida 32314

Re: Letter Number 203A00015552

Dear Ms. Harvey:

This letter is in response to the letter of March 12, 2003 from Buck Kohr, Corporate Specialist regarding penalty fees owed by Puckorius & Associates, Inc. In a conversation with Mr. Kohr, he suggested that my response be made to you.

When I opened my Florida office in September, 2000 calls were made to the Division of Corporations asking if a Virginia Corporation that had two locations in Virginia and now one in Florida had to register in Florida or needed to change their Corporation documents through the State. The response then, as we also heard subsequently, was that we needed to contact Virginia to see if this was required. An application to conduct business in Florida was not referred to in this conversation. Since that time the Virginia locations have been closed and only the one Florida office exists for Puckorius & Associates, Inc.

Earlier this year I requested my assistant to check again with the Florida Division of Corporations to make sure that there wasn't some type of form you required since we were totally in Florida. From this call we were directed to the web site and obtained the Application By Foreign Corporation for Authorization to Transact Business in Florida which we sent to your offices with the \$78.75.

From the 2002 Florida Statutes, 607.1501, web site information there are two reasons I did not think we were required to do more than what we did this March. Sections 607.1501 (2) (e) (Selling through independent contractors) and (i) (Transacting business in interstate commerce), I felt gave my firm the reason(s) for not having to obtain a certificate of authority for I work through a broker/dealer, InterSecurities, Inc. of Clearwater, FL who had registered my firm as a branch office, see copy of Department of Banking and Finance license. Also, since my business is working with clients throughout the country I felt this would be conducting business in interstate commerce.

-2-

You will also see that I have an occupational license from Avon Park as well as Highlands County having notified them of my existence and receiving appropriate paperwork to file for these licenses. Mr. Kohr wondered how I was able to obtain these licenses without having registered my firm in the State. There was never a question on if I was registered and if there had been, obviously it would have led me to filing the Application By Foreign Corporation For Authorization to Transact Business in Florida

In addition, my accountant filed a Florida tax return in 2000 and was told that since I am an S Corporation there would be no need to file subsequent returns. This filed return, I would have imagined, should have triggered some type of paperwork from the Division of Corporations or related division since this showed I was a new company in the State.

We received, postmarked March 11, 2003 - see attached, a reproduced copy titled "Important Notice" stating that as a Corporation operating in the State of Florida I am required to register with the Florida Department of State, Division of Corporations. This is the first letter ever received on this matter from the State of Florida and probably was prompted by our mailing of March 4, 2003.

There is no way I would have avoided doing the right and proper filing and I did try to obtain information on how I should proceed. My business is dealing with clients' financial affairs and obtaining the trust needed to work closely with them. This same integrity applies to my entire business dealings and I strongly feel that the penalty imposed of \$3,450 is unfair and unjust.

Needless to say, I have been distraught over this penalty and would like you and your colleagues to please reconsider the penalty for a number of reasons expressed above.

Sincerely,



Lana C. Puckorius, CFP, RFC, CSA

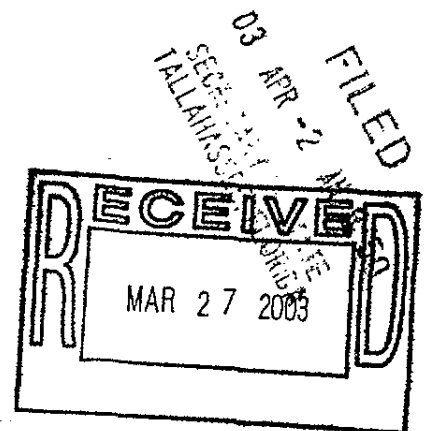
Financial Advisor

Enclosures

P.S. On March 14, 2003, see enclosed, we requested from the State of Virginia a Certificate in Good Standing for Puckorius & Associates, Inc. and will forward to you as soon as received.

03 APR -2 AM 8:50
FILED
TALLAHASSEE FLORIDA

TO: Gerry York, General Counsel's Office
FROM: Gretchen S. Harvey, Registration Section
DATE: March 26, 2003
SUBJECT: PUCKORIUS & ASSOCIATES, INC.
REFERENCE: W03000007068



Pursuant to Ms. Puckorius' letter of March 26th, the attached documents and correspondence are being forwarded to you for appropriate handling.

Please note the attached documents has numerous corrections to be made to the application, as well as penalties and annual report fees due this office pursuant to Chapter 607, Florida Statutes.

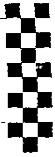
Should you have any further questions concerning this matter, please do not hesitate to get in touch.

/gsh

Attachments

$$\begin{array}{r} \$450.00 \\ + 1,500.00 \\ \hline 1,950.00 \end{array}$$

G/R 300,000

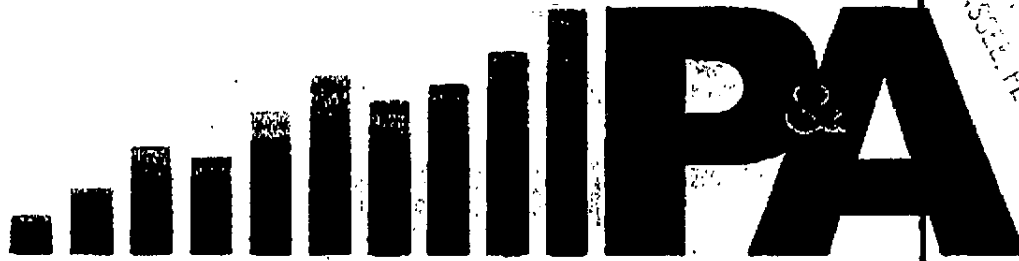


03/26/2003 12:28 18634537271

PUCKORIUS ASSOC

PAGE 01

FILED
03 APR -2 AM 8:50
SEALING UNIT
TALLAHASSEE, FLORIDA



PUCKORIUS & ASSOCIATES, INC
REGISTERED INVESTMENT ADVISOR

320 Hwy 27 North Suite D
Avon Park, Florida 33825
Phone 863-453-7737
Fax 863-453-7271

8

of pages including cover sheet

FAX

TO:

GRETCHEN HARVEY

CC: BUCK KOHR

Fax #

850 410-1815

From:

LANA PUCKORIUS

Date:

3-26-03

Message:

Mr. Kohr suggested I fax my response to you. The original is being mailed today.



FILED
03 APR -2 AM 8:50
SEAL OF THE STATE
TALLAHASSEE, FLORIDA

***** IMPORTANT NOTICE *****

As a Limited Partnership, Limited Liability Company or Corporation operating in the State of Florida, you are required to register with the Florida Department of State, Division of Corporations.

For more information on registering with the Florida Department of State, please visit <http://www.dos.state.fl.us/> or you may write or call:

Department of State
Divisions of Corporations
P. O. Box 6327
Tallahassee, Florida 32314

(850) 488-9000

FLORIDA DEPARTMENT OF REVENUE
5050 W TENNESSEE ST
TALLAHASSEE FL 32309-0100



PUCKORIUS & ASSOCIATES INC
320 US HIGHWAY 27 N STE D
AVON PARK, FL. 33825-3058

STATE OF FLORIDA DEPARTMENT OF BANKING AND FINANCE

101 EAST GAINES STREET, TALLAHASSEE, FLORIDA 32399-0380

PHONE

(850) 410-9805

228346

THE BRANCH ADDRESS IDENTIFIED BELOW IS LISTED IN ACCORDANCE WITH CHAPTER 517, FLORIDA STATUTES
TO ACT AS A BRANCH OF THE COMPANY IDENTIFIED

EFFECTIVE DATE
04/01/03EXPIRATION DATE
03/31/03

FIRM NAME: INTERSECURITIES, INC.

ADDRESS: 220 US HIGHWAY 27 N STE 5
AVON PARK, FL 33825-9058
BRANCH: 000055 SEQ: 000

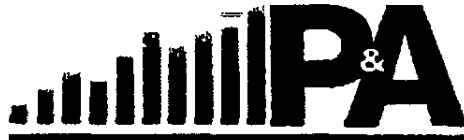
THOMAS R MORIARTY
INTERSECURITIES, INC.
P.O. BOX 9053
CLEARWATER, FL 33758-9053

AUDIT NUMBER: BIB 0202338
FILE NUMBER: 022078

COMPTROLLER OF FLORIDA

AM
FM
LAW
US
U
U
AM
IN
CD

<p> BIRTH DATE: 03/26/03 Local: 03/26/03 Lic No: 01577 Issued: 03/26/03 Lic Fee: 26.25 Penalty: .00 Total: 26.25 Comments: </p>	<p> PUCKORIUS ASSOCIATES 03/01/03 STOCKS, BONDS, LIFE INSURANCE Expiration date: 03/31/03 FINANCIAL PLANNING / INVESTMENT / INSURANCE COMPANY'S PLACE </p>



PUCKORIUS & ASSOCIATES, INC
REGISTERED INVESTMENT ADVISOR

320 U.S. Highway 27 N, Suite D • Avon Park, FL 33825
Phone 863-453-7737 • Fax 863-453-7271

FILED
03 APR -2 AM 8:50
SEAL STATE
TALLAHASSEE, FLORIDA

March 14, 2003

State Corporations Commission
P O Box 1197
Richmond, VA 23218-1197

Gentlemen:

Please Issue a Certificate in Good Standing for Puckorius & Associates. A check for \$6.00 is enclosed. An example of the document we are requesting is attached.

Thank you.

Lana C. Puckorius
320 US Hwy 27 N, Ste D
Avon Park, FL 33825

PUCKORIUS & ASSOCIATES INC.
PH. 883-483-7737
320 US HWY 27, SUITE D
AVON PARK, FL 33825

Date 3-18-03

Pay to the Order of State Corp. Comm \$ 6.00

Six Dollars

Shore Bank
Orlando, Virginia 22416

For Lane C. Puckorius

1:25:44 7:25:57 1700897 0 004317

FILED
03 APR -2 AM 8:50
STATE
FLORIDA



State Corporation Commission

I Certify the Following from the Records of the Commission:

A certificate of organization was issued by the Commission to [REDACTED], a limited liability company formed under the laws of VIRGINIA, effective as of April 04, 2002.

This certificate is in effect as of this date.

Nothing more is hereby certified.

THIS IS AN EXAMPLE OF
THE CERTIFICATE YOU MUST
PLEASE OBTAIN.

*Signed and Sealed at Richmond on this Date:
June 13, 2002*



Joel H. Peck
Joel H. Peck, Clerk of the Commission



03 APR -2 AM 8:50
FILED
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FLORIDA DEPARTMENT OF STATE
Glenda E. Hood
Secretary of State
OFFICE OF THE GENERAL COUNSEL

F A C S I M I L E T R A N S M I T T A L

TO FAX NUMBER: 863-453-7271

Please deliver the following pages to:

NAME: Lana Puckorius

COMPANY: Puckorius & Associates, Inc.

CITY/STATE: Avon Park, Florida

SENDER: Gerard T. York, Esq.,
Assistant General Counsel

DATE/TIME: 03/28/03 1:26 PM

NUMBER OF PAGES (including transmittal sheet): 2

FROM FAX: 850/245-6127

COMMENTS: Thank you for contacting the Florida Department of State. This facsimile is in response to your letter of March 26, 2003 and our conversation today regarding annual report fees and statutory penalties due from Puckorius & Associates, Inc.

We would offer to settle this matter of annual report fees and administrative assessments for the amount of \$1,950.00, reflecting annual report fees from 2000 of \$450.00 and statutory penalties of \$1,500.00 assessed at the statutory minimum. This offer remains in effect until June 30, 2003.

03 APR 2 03 PM 3:50
FILED
SECRET
TALLAHASSEE, FLORIDA
Upon receipt of a check for \$1,950.00 payable to the Department of State, Division of Corporations, I will instruct the Division of Corporations to indicate Puckorius & Associates, Inc., to transact business in Florida. Please mail the check to this attorney at: Office of General Counsel, 500 South Bronough Street, Room 123, R. A. Gray Building, Tallahassee, Florida 32399-0250.

Please do not hesitate to contact me at 850-245-6514 should you have any questions.

**500 SOUTH BRONOUGH STREET • ROOM 123, R. A. GRAY
BUILDING • TALLAHASSEE, FLORIDA 32399-0250**



Department of State

Memorandum Office of the General Counsel

FILED
03 APR -2 AM 8:50
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

TO: File

FROM: Gerard York, Assistant General Counsel

DATE: April 2, 2003

RE: Puckorius & Associates, Inc.

Based on my review of the file and the payments received from the corporation, it is my recommendation that this file be closed. Corporation has paid outstanding report fees from 2000 of \$450.00 and foreign non-qualified penalties from 1999 of \$1500.00 assessed at the statutory minimum. Corporation wishes to be qualified to do business in the State of Florida. Accordingly, it is recommended corporation be issued a certificate of authority.

/gty

MAR. 28. 2003

1:32PM

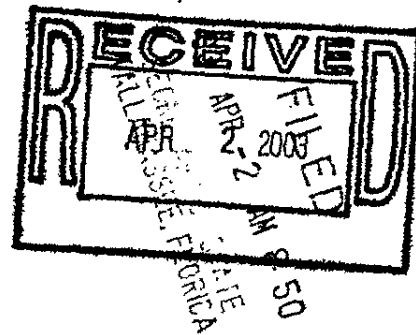
DEPT OF STATE

NO. 848

P. 1/2



FLORIDA DEPARTMENT OF STATE
Glenda E. Hood
Secretary of State
OFFICE OF THE GENERAL COUNSEL



F A C S I M I L E T R A N S M I T T A L

TO FAX NUMBER: 863-453-7271

Please deliver the following pages to:

NAME: Lana Puckorius

COMPANY: Puckorius & Associates, Inc.

CITY/STATE: Avon Park, Florida

SENDER: Gerard T. York, Esq.,
Assistant General Counsel

DATE/TIME: 03/28/03 1:26 PM

NUMBER OF PAGES (including transmittal sheet): 2

FROM FAX: 850/245-6127

ck # 433/1950

COMMENTS: Thank you for contacting the Florida Department of State. This facsimile is in response to your letter of March 26, 2003 and our conversation today regarding annual report fees and statutory penalties due from Puckorius & Associates, Inc.

We would offer to settle this matter of annual report fees and administrative assessments for the amount of \$1,950.00, reflecting annual report fees from 2000 of \$450.00 and statutory penalties of \$1,500.00 assessed at the statutory minimum. This offer remains in effect until June 30, 2003.

TRANSMITTAL LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Puckorius + Associates, Inc.
(Name of corporation - must include suffix)

FILED
03 APR -2 AM 8:50
TALLAHASSEE, FLORIDA
SECRETARY OF STATE

Dear Sir or Madam:

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:

Lana C Puckorius
(Name of Person)
Puckorius + Associates, Inc
(Firm/Company)
320 US Hwy 27 N, Ste D
(Address)
Avon Park FL 33825
(City/State and Zip code)

For further information concerning this matter, please call:

Mary Martin at (823) 453-7737
(Name of Person) (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

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. Puckorius & Associates, 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. Virginia 3. _____
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 6/14/1997 5. Perpetual
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. 7-2000
(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. 320 US Hwy 27 N, Ste D, Avon Park FL 33825
(Principal office address)
320 US Hwy 27 N, Ste D, Avon Park FL 33825
(Current mailing address)
8. Financial / Investment Services
(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: Lana C Puckorius

Office Address: 320 US Hwy 27 N Ste D
Avon Park FL, Florida 33825
(City) (Zip code)

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.

Lana C. Puckorius
(Registered agent's signature)

(also signing as President of the corporation)

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.

FILED
03 APR -2 AM 8:50
STATE
TALLAHASSEE, FLORIDA

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

A. DIRECTORS

Chairman: _____
Address: _____

Vice Chairman: _____
Address: _____

Director: _____
Address: _____

Director: _____
Address: _____

FILED
03 APR -2 PM 8:50
SEAL OF THE STATE
TALLAHASSEE, FLORIDA

B. OFFICERS

President: Lana C Puckorius
Address: 320 US Hwy 27 N Ste D
Avon Park FL 33825

Vice President: _____
Address: _____

Secretary: Lana C Puckorius
Address: _____

Treasurer: Lana C Puckorius
Address: _____

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

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

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

Commonwealth of Virginia



STATE CORPORATION COMMISSION

Richmond, February 24, 2003

FILED
2003 APR -2 AM 8:50
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

This is to certify that the certificate of incorporation of

Puckorius & Associates, Inc.

was issued and admitted to record in this office and that the said corporation is authorized to transact its business subject to all Virginia laws applicable to the corporation and its business. Effective date: May 14, 1997



State Corporation Commission

Attest:

Joel H. Beck
Clerk of the Commission