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(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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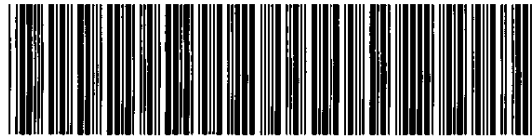
(Business Entity Name)

(Document Number)

Certified Copies \_\_\_\_\_ Certificates of Status \_\_\_\_\_

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

D. WHITE AUG 23 2007

## COVER LETTER

TO: New Filing Section  
Division of Corporations

SUBJECT: Chapdelaine Municipal Securities, Inc  
(Name of corporation - must include suffix)

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:

Kevin Manz  
(Name of Person)  
Chapdelaine Municipal Securities, Inc  
(Firm/Company)  
One Seaport Plaza  
(Address)  
New York NY 10038  
(City/State and Zip code)

For further information concerning this matter, please call:

Kevin Manz at ( 212 ) 208-9105  
(Name of Person) (Area Code & Daytime Telephone Number)

**STREET/COURIER ADDRESS:**

New Filing Section  
Division of Corporations  
Clifton Building  
2661 Executive Center Circle  
Tallahassee, FL 32301

**MAILING ADDRESS:**

New Filing 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. Chapdelaine Municipal Securities Inc.  
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

CM Securities Inc  
(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. New York 3. 13-3163126  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. April 4, 1983 5. perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. \_\_\_\_\_  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. One Seaport Plaza, New York, NY 10038  
(Principal office address)

One Seaport Plaza, New York, NY 10038  
(Current mailing address)

8. To conduct financial services business  
(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 NOT acceptable)

Name: CT Corporation System

Office Address: 1200 South Pine Island Road

Plantation

(City)

, Florida 33324

(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.

Mark S. Eppley  
Assistant Vice-President  
and Secretary

(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.

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TALLAHASSEE, FLORIDA

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

## A. DIRECTORS

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Chairman: Richard F. Chapdelaine

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Address: One Seaport PlazaNew York, NY 10038SECRETARY OF STATE  
TALLAHASSEE, FLORIDA~~Director~~  
~~Vice Chairman~~ August J. HarringerAddress: One Seaport PlazaNew York, NY 10038Director: Kevin HarringtonAddress: One Seaport PlazaNew York, NY 10038Director: James WheelerAddress: One Seaport PlazaNew York, NY 10038

(Please see attached list)

## B. OFFICERS

President: August J. HarringerAddress: One Seaport PlazaNew York, NY 10038Vice President: Kevin HarringtonAddress: One Seaport PlazaNew York, NY 10038Secretary: Teresa O'LearyAddress: One Seaport Plaza, New York, NY 10038

Treasurer: \_\_\_\_\_

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

(Please see attached list)

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

13. Teresa O'Leary  
(Signature of Director or Officer listed in number 12 of the application)14. Teresa O'Leary, Secretary  
(Typed or printed name and capacity of person signing application)

Chapdelaine Municipal Securities, Inc.  
One Seaport Plaza, New York, NY 10038

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA***Directors of Chapdelaine Municipal Securities, Inc***

Richard F. Chapdelaine,	Chairman
August J. Hoerrner,	Director
Kevin Harrington,	Director
James Wheeler,	Director
John Bannon,	Director
Fredreric Dunn,	Director
Kenneth Connors,	Director
Kenneth Torres,	Director
Christopher Deissler,	Director

All directors maintain their business address at:

One Seaport Plaza, 17<sup>th</sup> Floor  
New York, NY 10038

***Officers of Chapdelaine Municipal Securities, Inc***

August J. Hoerrner,	President
Teresa O'Leary,	Secretary and Treasurer
Kevin Harrington,	Executive Vice President
James Wheeler,	Executive Vice President
John Bannon,	Executive Vice President
Fredreric Dunn,	Executive Vice President
Kenneth Connors,	Executive Vice President
Kenneth Torres,	Executive Vice President
Christopher Deissler,	Executive Vice President

All officers maintain their business address at:

One Seaport Plaza, 17<sup>th</sup> Floor  
New York, NY 10038

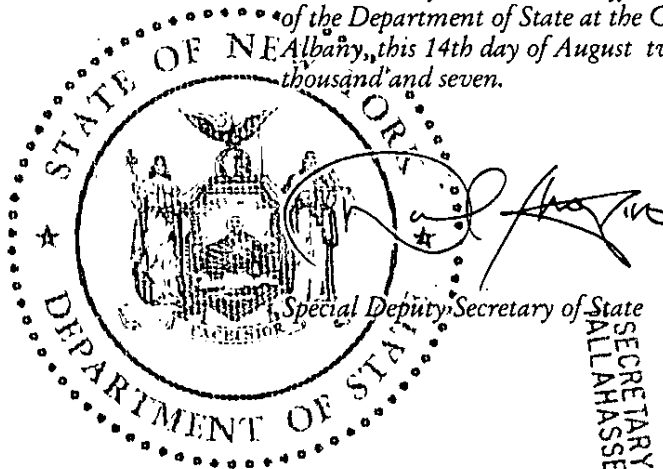
**State of New York**  
**Department of State** } ss:

I hereby certify, that the Certificate of Incorporation of CHAPDELAIN & CO. MUNICIPAL SECURITIES, INC. was filed on 04/04/1983, 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 an existing corporation.

The Biennial Statement is past due.

\*\*\*

WITNESS my hand and the official seal  
of the Department of State at the City of  
Albany, this 14th day of August two  
thousand and seven.



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SECRETARY OF STATE  
ALLAHASSEE, FLORIDA

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