

F290000001039

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

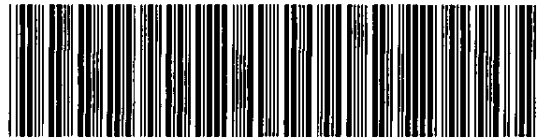
(Business Entity Name)

(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

Office Use Only



000144360260

02/25/09--01034--008 **70.00

2009 MAR 13 A 1:36
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

~~62-9346~~
3-16-09
WC



FLORIDA DEPARTMENT OF STATE
Division of Corporations

FILED
2009 MAR 13 A 1:36
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

February 26, 2009

LEIGH M. GARBER
RIDGEWAY & CONGER, INC.
P. O. BOX 460
NEW WOODSTOCK, NY 13122

SUBJECT: RIDGEWAY & CONGER, INC.
Ref. Number: W09000009314

We have received your document for RIDGEWAY & CONGER, INC. and your check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

Page one of your application is illegible and the registered agent's signature is not an original.

Please return the corrected original and one copy of 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) 245-6995.

Wanda Cunningham
Regulatory Specialist II
New Filing Section

Letter Number: 509A00006829

COVER LETTER

FILED
2009 MAR 13 A 1:36
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

TO: New Filing Section
Division of Corporations

SUBJECT: RIDGEWAY - CONGER, 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:

LEIGH M. GARBER

(Name of Person)

RIDGEWAY - CONGER, INC.

(Firm/Company)

PO BOX 460, 2123 MAIN ST.
(Address)

NEW WOODSTOCK, NY 13122
(City/State and Zip code)

For further information concerning this matter, please call:

LEIGH M. GARBER

(Name of Person)

at (315) 662 7450

(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. Ridgeway & Conser, Inc.
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

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

2. New York State 3. 16-1600543
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 2/02/2001 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. 2123 Main St., New Woodstock, NY 13122
(Principal office address)

Box 460, New Woodstock, NY 13122
(Current mailing address)

8. Broker/Dealer
(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: GARRETT SOULE

Office Address: 7890 Peters Road
Plantation, Florida 33324
(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.

Garrett C. Soule
(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.

2009 MAR 13 A 1:36
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

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

A. DIRECTORS

Chairman: _____

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS

President: _____

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

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

13. _____

(Signature of Director or Officer listed in number 12 of the application)

14. _____

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

FILED
2009 MAR 13 A 1:37
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

attached

attached

Leigh M. Garber

LEIGH M. GARBER

Direct Owners/Executive Officers

| Organization CRD#: 113055 | | Organization Name: RIDGEWAY & CONGER, INC. | | | | | |
|-------------------------------|-------------------------------|--|----------------------|----------------|----------------|--------------------------|----------------------|
| Organization SEC#: 8-53291 | | Applicant Name: RIDGEWAY & CONGER, INC. | | | | | |
| No IA Record | | | | | | | |
| Full Legal Name | Domestic, Foreign, Individual | Status | Date Status Acquired | Ownership Code | Control person | Public Reporting Company | CRD#, EIN, SSN, IRS# |
| CLAYTON LOWELL & CONGER, INC. | Domestic Entity | OWNER | 02/2001 | 75% or more | Y | N | 16-1537562 |
| GARBER, LEIGH MCCOBB | Individual | MUNI. PRIN./VP/SEC/TREAS/ROSFP | 06/2004 | Less than 5% | Y | N | 2768572 |
| TABONE, DAVID VINCENT | Individual | VP/COO | 03/2006 | Less than 5% | N | N | 3251393 |
| MOLLOY, MICHAEL PATRICK | Individual | MUNICIPAL UNDERWRITING PRINCIPAL | 10/2007 | Less than 5% | N | N | 1321360 |
| GARBER, LEIGH MCCOBB | Individual | PRESIDENT, CCO. CEO | 06/2002 | Less than 5% | Y | N | 2768572 |
| JIANG, LING | Individual | FINANCIAL OPERATIONS PRINCIPAL | 01/2005 | Less than 5% | N | N | 3052124 |
| PARRY, WILLIAM J | Individual | GENERAL SECURITIES PRINCIPAL | 06/2007 | Less than 5% | N | N | 4702495 |
| LOCKE, ANDREW | Individual | MUNICIPAL SECURITIES PRINCIPAL | 08/2006 | Less than 5% | N | N | 4727955 |
| PETITTE, TIMOTHY | Individual | COMPLIANCE PRINCIPAL | 01/2009 | Less than 5% | N | N | 5248021 |

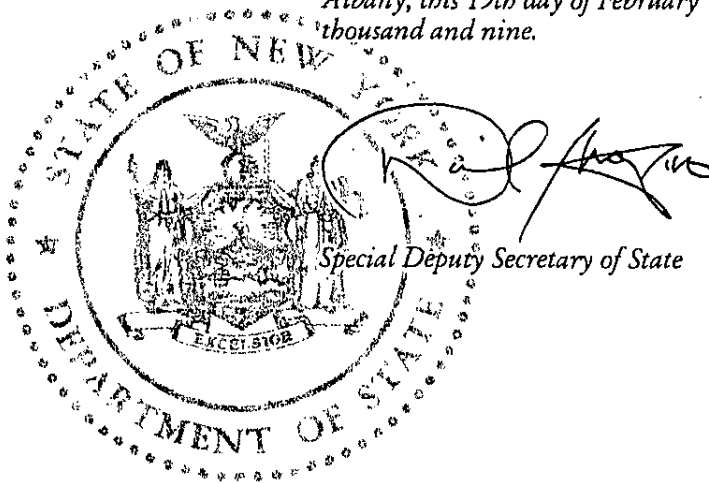
FILED
2009 MAR 13 A 1:37
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

State of New York
Department of State } ss:

I hereby certify, that the Certificate of Incorporation of RIDGEWAY & CONGER, INC. was filed on 02/02/2001, 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 19th day of February two
thousand and nine.*



200902200228 100

FILED
2009 MAR 13 A 1:37
SECRETARY OF STATE
TALLAHASSEE, FLORIDA