

F0900000/853

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP ☐ WAIT ☐ MAIL

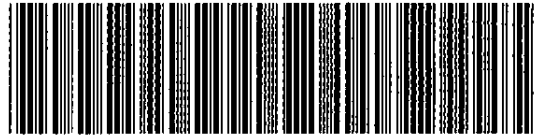
(Business Entity Name)

(Document Number)

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

Special Instructions to Filing Officer:

Office Use Only



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04/20/09--01044--008 \*\*70.00

05/07/09--01010--003 \*\*880.00

APPROVED  
AND  
FILED

09 MAY -6 PM 3:33  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

VH

4-19-18720

## COVER LETTER

**TO:** New Filing Section  
Division of Corporations

**SUBJECT:** Carlton Advisory Services  
(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:

Robert Gaeta

(Name of Person)

Carlton Advisory Services

(Firm/Company)

250 Park Avenue, Suite 400

(Address)

New York, NY 10177

(City/State and Zip code)

For further information concerning this matter, please call:

Robert Gaeta

(Name of Person)

at (212) 746-5615

(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:

ρ \$70.00 Filing Fee

ρ \$78.75 Filing Fee &  
Certificate of Status

ρ \$78.75 Filing Fee &  
Certified Copy

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



FLORIDA DEPARTMENT OF STATE  
Division of Corporations

April 21, 2009

ROBERT GAETA  
250 PARK AVENUE, SUITE 400  
NEW YORK, NY 10177

SUBJECT: CARLTON ADVISORY SERVICES  
Ref. Number: W09000018720

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

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.

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 \$2,300.00.

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) 245-6962.

Valerie Herring  
Regulatory Specialist II  
New Filing Section

Letter Number: 309A00013400

THE CARLTON GROUP, LTD.



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AND  
FILED

09 MAY -6 PM 3:33

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

April 29, 2009

Florida Department of State  
Division of Corporations  
PO Box 6327  
Tallahassee, FL 32314

Att: Ms. Valerie Herring

Re: Carlton Advisory Services, Inc.  
W09000018720

Dear Ms. Herring:

Attached please find our application to transact business in Florida and a check for \$880.00 payable to Florida Department of State.

We are asking that you accept the \$950 check as full payment for doing business for the years 2007-2009 plus a \$500 penalty. We ask that you waive the additional penalty of \$1,800 for the following reason:

- We had no employees working out of the office until 2009. Had we had employees in 2007 or 2008 we would have been prompted by our payroll company to register the firm.

Please advise if this is acceptable.

Sincerely,

  
Robert Gaeta, Vice President

**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. Corlton Advisory Services, 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 3. 13-3977031  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 12/02/1997 5. \_\_\_\_\_  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. August 10, 2007  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 250 Park Avenue, Suite 400 New York, NY 10177  
(Principal office address)

250 Park Avenue, Suite 400 New York, NY 10177  
(Current mailing address)

8. Loan Sale Advisory 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 NOT acceptable)

Name: Robert Gruets

Office Address: 400 Village Square Crossing Suite 3C  
Palm Beach Gardens, Florida 33410  
(City) (Zip code)

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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AND  
FILED

**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.*

Robert Gruets  
(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.

APPROVE  
AND  
FILED

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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

**A. DIRECTORS**

Chairman: Howard L Michaels

Address: 250 Park Avenue Suite 400  
New York, NY 10177

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

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

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

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

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

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

**B. OFFICERS**

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

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

Vice President: Robert Gaeta

Address: 250 Park Avenue, Suite 400  
New York, NY 10177

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)

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

I hereby certify, that CARLTON ADVISORY SERVICES, INC. a DELAWARE corporation, filed an Application for Authority to do business in the State of New York on 12/02/1997. 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.

\*\*\*

*WITNESS my hand and the official seal  
of the Department of State at the City of  
Albany, this 06th day of April two  
thousand and nine.*

200904070387 100



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TALLAHASSEE, FLORIDA