

FROM :

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Florida Department of State
Division of Corporations
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FOREIGN PROFIT/NONPROFIT CORPORATION
Commonwealth Equity Services, Inc.

Certificate of Status	0
Certified Copy	0
Page Count	05
Estimated Charge	\$720.00

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

17 JAN - 7 PM 1:35

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FROM :

FAX NO. :

Jan. 08 2011 04:36AM P2/6

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COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: Commonwealth Equity Services, 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:

Brian Smith

(Name of Person)

Bay State Corporate Services, Inc.

(Firm/Company)

8 Beacon Street, Ste 510.

(Address)

Boston, MA 02108

(City/State and Zip code)

For further information concerning this matter, please call:

Brian Smith

at (817) 742-8484

(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

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FROM :

FAX NO. :

Jan. 08 2011 04:36AM P3/6

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**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. Commonwealth Equity Services, Inc.
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")
2. Massachusetts 3. 04-2875571
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 11/22/2010 5. Perpetual
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. Upon filing
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 29 Sawyer Road, Waltham, MA 02453
(Principal office address)
29 Sawyer Road, Waltham, MA 02453
(Current mailing address)
8. Securities brokerage and investment placement
(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: NRAI Services, Inc.
Office Address: 2731 Executive Park Dr., Ste 4
Weston, Florida 33331
(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.

NRAI Services, Inc.

Suzanne T. Cryan
(Registered agent's signature) Suzanne T. Cryan, Asst. Secretary

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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FROM :

FAX NO. :

Jan. 08 2011 04:36AM P4/6

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

A. DIRECTORS

Chairman: see attached

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS

President: see attached

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. Peter T. Wheeler

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

14. Peter T. Wheeler

President

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

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FROM :

FAX NO. :

Jan. 08 2011 04:37AM P5/6

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COMMONWEALTH EQUITY SERVICES, INC.

LIST OF OFFICER AND DIRECTORS

OFFICERS:

NAME & TITLE

ADDRESS

President- Peter T. Wheeler

29 Sawyer Road, Waltham, MA 02453

Treasurer- Joseph S. Delich

29 Sawyer Road, Waltham, MA 02453

Secretary- Peter T. Wheeler

29 Sawyer Road, Waltham, MA 02453

DIRECTORS:

NAME

ADDRESS

Peter T. Wheeler

29 Sawyer Road, Waltham, MA 02453

Joseph S. Delich

29 Sawyer Road, Waltham, MA 02453

Wayne Bloom

29 Sawyer Road, Waltham, MA 02453

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FROM :

FAX NO. :

Jan. 08 2011 04:37AM P6/6

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William Francis Galvin
Secretary of the
Commonwealth

The Commonwealth of Massachusetts
Secretary of the Commonwealth
State House, Boston, Massachusetts 02133

December 21, 2010

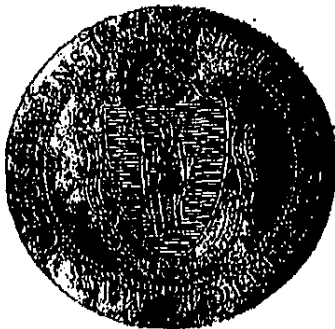
TO WHOM IT MAY CONCERN:

I hereby certify that according to the records of this office,

COMMONWEALTH EQUITY SERVICES, INC.

is a domestic corporation organized on November 22, 2010, under the General Laws of the Commonwealth of Massachusetts.

I further certify that there are no proceedings presently pending under the Massachusetts General Laws Chapter 156D section 14.21 for said corporation's dissolution; that articles of dissolution have not been filed by said corporation; that, said corporation has filed all annual reports, and paid all fees with respect to such reports, and so far as appears of record said corporation has legal existence and is in good standing with this office.



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In testimony of which,
I have hereunto affixed the
Great Seal of the Commonwealth
on the date first above written.

William Francis Galvin

Secretary of the Commonwealth

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MASSACHUSETTS

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