

**F12000001538**

\_\_\_\_\_  
(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



**100227476031**

04/10/12--01011--003 \*\*70.00

**FILED**  
2012 APR 10 AM 10:20  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

**J. Shivers APR 11 2012**

## COVER LETTER

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

**SUBJECT:** Collins Stewart 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," or "Certificate of Good Standing" 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:

Angela Escoffery

Name of Person

Collins Stewart Inc.

Firm/Company

350 Madison Avenue

Address

New York, New York, 10017

City/State and Zip code

aescoffery@collinsstewartllc.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Angela Escoffery

Name of Person

at ( 212- ) 389-8025

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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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA  
FILED



Collins Stewart LLC

350 Madison Avenue  
New York, New York 10017

Tel 212 389 8000

Fax 212 389 8888

April 9, 2012


Florida Department of State  
New Filing Section  
Division of Corporation  
Clifton Building  
2661 Executive Center Circle  
Tallahassee, FL 32301

To Whom It May Concern:

Collins Stewart LLC hereby gives consent for Collins Stewart Inc., an affiliate to register for business in the State of Florida.

Please contact Angela Escoffery with any questions at 212-389-8025 or email [aescoffery@collinsstewartllc.com](mailto:aescoffery@collinsstewartllc.com).

Sincerely,

  
Richard A. Samuels  
Chief Compliance Officer

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2012 APR 10 AM 10:20  
SEAL OF THE  
TALLAHASSEE, FL

**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. Collins Stewart 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. Delaware 3. 13-4007004  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 04/06/1998 5. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. March 2011  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 350 Madison Avenue, New York, New York 10017  
(Principal office address)  
350 Madison Avenue, New York, New York 10017  
(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: CT. Corporation
- Office Address: 1200 South Pine Island 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.*

 **Debbie Diaz**  
**Assistant 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

es and business addresses of officers and/or directors:

**RECTORS**

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

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

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

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

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

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

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

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

**B. OFFICERS**

President: Mark Whaling

Address: 350 Madison Avenue

New York, NY 10017

Vice President: Richard Sorrentino, Chief Compliance Officer

Address: 350 Madison Avenue

New York, NY 10017

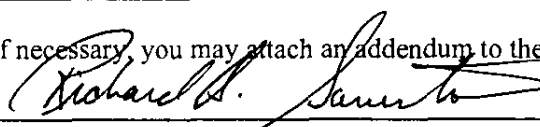
Secretary: Melissa Astudillo

Address: 350 Madison Avenue, New York, NY 10017

Treasurer: Howard Green

Address: 350 Madison Avenue, New York, NY 10017

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

13.   
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 12 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

14. Chief Compliance Officer  
(Typed or printed name and capacity of person signing application)

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

# Delaware

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*The First State*

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "COLLINS STEWART INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTIETH DAY OF MARCH, A.D. 2012.

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2012 APR 10 AM 10:20  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA



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120315548

You may verify this certificate online  
at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

  
Jeffrey W. Bullock, Secretary of State  
AUTHENTICATION: 9443994

DATE: 03-20-12