

F13000004582

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

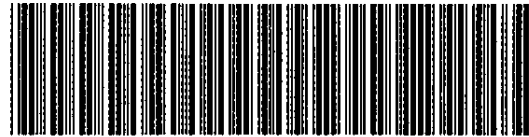
(Business Entity Name)

(Document Number)

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

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10/09/13--01031--009 \*\*70.00

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13 OCT 22 PM 1:11  
TALLAHASSEE FLORIDA

WB-56636

10/23/13



FLORIDA DEPARTMENT OF STATE  
Division of Corporations

October 10, 2013

ANN PITCHFORD  
E\*TRADE FINANCIAL CORPORATION  
671 NORTH GLEBE RODA, 12TH FLOOR  
ARLINGTON, VA 22203

SUBJECT: E\*TRADE FINANCIAL CORPORATION  
Ref. Number: W13000056636

We have received your document for E\*TRADE FINANCIAL CORPORATION 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 date first transacted business in Florida within the meaning of s. 607.1501 or 608.501, F.S., must be set forth in section 6 of the application. If the corporation/limited liability company has not transacted business in Florida within this meaning, please insert the words "upon qualification" in lieu of a date. (Note: Pursuant to s. 607.1502(4) or 608.502(4), F.S., this office is required to collect a civil penalty of \$1,000 for each year other than the application filing year, that a foreign corporation or limited liability company transacts business in this state without authority along with the past annual report fees due this office.)

A certificate of existence or a certificate of good standing, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

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) 245-6052.

Thomas Chang  
Regulatory Specialist II  
New Filing Section

Letter Number: 813A00023863

## COVER LETTER

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

**SUBJECT:** E\*TRADE Financial Corporation

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:

Ann Pitchford

Name of Person

E\*TRADE Financial Corporation

Firm/Company

671 North Glebe Road, 12th Floor

Address

Arlington, VA 22203

City/State and Zip code

ann.pitchford@etrade.com

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

For further information concerning this matter, please call:

Ann Pitchford

Name of Person

at ( 703 ) 236-8146

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. E\*TRADE Financial Corporation  
(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. 94-2844166  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. May 30, 1996 5. perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. May 1, 2013  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 1271 Avenue of the Americas, 14th Floor, New York, NY 10020  
(Principal office address)  
671 North Glebe Road, 12th Floor, Attn: Ann Pitchford, Arlington, Virginia 22203  
(Current mailing address)
8. Financial services holding company  
(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: Corporation Service Company
- Office Address: 1201 Hays Street  
Tallahassee, Florida 32301  
(City) (Zip code)

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TALLAHASSEE, FLORIDA  
CLERK OF THE COURT

**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.*

Corporation Service Company

By: [Signature]  
(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.

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

**A. DIRECTORS**

Chairman: Rodger A. Lawson

Address: 1271 Avenue of the Americas, 14th Floor, New York, NY 10020

Vice Chairman:

Address:

Director: Richard Carbone

Address: 1271 Avenue of the Americas, 14th Floor, New York, NY 10020

Director: Mohsen Fahmi

Address: 1271 Avenue of the Americas, 14th Floor, New York, NY 10020

**B. OFFICERS**

President: Navtej S. Nandra

Address: 1271 Avenue of the Americas, 14th Floor, New York, NY 10020

Vice President:

Address:

Assistant Secretary: Lori Sher

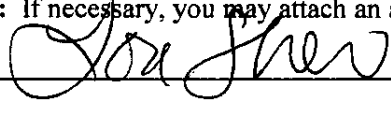
Address: 671 North Glebe Road, Arlington, VA 22203

Treasurer: Matthew J. Audette

Address: 1271 Avenue of the Americas, 14th Floor, New York, NY 10020

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

13.

 Assistant Secretary

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. Lori Sher, Assistant Secretary

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

# Delaware

PAGE 1

*The First State*

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "E\*TRADE FINANCIAL CORPORATION" 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 TWENTY-FIFTH DAY OF SEPTEMBER, A.D. 2013.

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DELAWARE

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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: 0766534

DATE: 09-25-13