

Form:

08/08/2016 17:21

#596 P.001/004

Division of Corporations

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**F16000003561**

Florida Department of State  
Division of Corporations  
Electronic Filing Cover Sheet

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Division of Corporations  
Fax Number : (850)617-6363

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**FOREIGN PROFIT/NONPROFIT CORPORATION  
TRADITION SECURITIES AND DERIVATIVES INC.**

Certificate of Status	0
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Corporate Filing Menu

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K. SALY  
EXAMINER

8/8/2016

AUG 10

2016 AUG -9 AM 9:38

TALLAHASSEE, FLORIDA

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

2016 AUG -9 AM 9:48

FILED

From:

08/08/2016 17:22

#596 P.002/004

((H16000194117 3)))

**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. Tradition Securities and Derivatives Inc.  
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"  
"Inc.," "Co.," "Corp.," "Ltd.," "Co.," or "Corp.")

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

2. Delaware 3. \_\_\_\_\_  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 3/30/1989 5. \_\_\_\_\_  
(Date of incorporation) (Date of duration, if other than 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. 255 Greenwich Street, New York, NY 10007  
(Principal office address)

(Current mailing address, if different)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

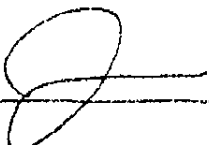
Name: National Corporate Research, Ltd., Inc.

Office Address: 115 North Calhoun Street, Suite 4

Tallahassee, Florida 32301  
(City) (Zip code)

**9. 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.*

 Jacobine America 1557 SECRETARY  
(Registered agent's signature)

10. 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

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

**A. DIRECTORS**

Chairman: Director: Francois Brisebois: 255 Greenwich St, New York, NY 10007

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

Vice Chairman: Director: Michael Lebowitz: 255 Greenwich St., New York, NY 10007

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

Director: Judith Ricciardi: 255 Greenwich St., New York, NY 10007

Address: Larry Rosenshein: 255 Greenwich St., New York, NY 10007

William Wostyn: 255 Greenwich St., New York, NY 10007

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

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

**B. OFFICERS**

President: Chief Executive Officer: Michael Lebowitz: 255 Greenwich St., New York, NY 10007

Address: Chief Operating Officer: Larry Rosenshein: 255 Greenwich St., New York, NY 10007

President: Raymond Baccala: 255 Greenwich St., New York, NY 10007

Vice President: CFO, Secretary and Treasurer: Judith Ricciardi: 255 Greenwich St., New York, NY 10007

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

Secretary: \_\_\_\_\_

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

Treasurer: \_\_\_\_\_

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

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

12. \_\_\_\_\_

Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 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.

13. \_\_\_\_\_

Judith Ricciardi

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

From:

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# Delaware

The First State

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I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "TRADITION SECURITIES AND DERIVATIVES 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 EIGHTH DAY OF AUGUST, A.D. 2016.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "TRADITION SECURITIES AND DERIVATIVES INC." WAS INCORPORATED ON THE THIRTIETH DAY OF MARCH, A.D. 1989.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.

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Jeffrey W. Bullock, Secretary of State

Authentication: 202791141

Date: 08-08-16

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