

F1700005696

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

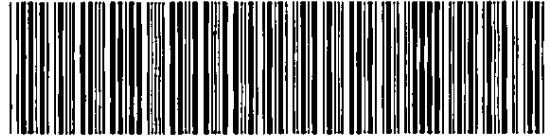
(Business Entity Name)

(Document Number)

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

Special Instructions to Filing Officer:

Office Use Only



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FILED  
DEC 14 2017  
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DEC 14 2017  
424 22 41 333 112

D. SCOTT

DEC 20 2017



FLORIDA DEPARTMENT OF STATE  
Division of Corporations

December 15, 2017

CSC

**RESUBMIT**

Please give me  
submission date as file date.

SUBJECT: VAN ECK SECURITIES CORPOATION  
Ref. Number: W17000099060

We have received your document for VAN ECK SECURITIES CORPOATION and your check(s) totaling \$78.75. However, the enclosed document has not been filed and is being returned for the following correction(s):

Pursuant to section 607.1502(4), 617.1502(4) or 605.0904(7), Florida Statutes, this entity is liable for a civil penalty of at least \$500 but not more than \$1000 for each year this entity transacted business or conducted its affairs in Florida prior to qualification. In addition to this civil penalty, the appropriate annual report fees that would have been due this office had the entity qualified the year it began operations in this state are also due. The amount due this office to cover both annual report(s) and penalty fees is \$950.00.

The form you submitted is for a Foreign LLC, but your entity is a Foreign Corporation.

We are enclosing the proper form(s) with instructions for your convenience.

Please return 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) 245-6051.

Dionne M Pijaux  
Regulatory Specialist

Letter Number: 717A00025358

17 DEC 19 AM 11:16

CORPORATION SERVICE COMPANY  
1201 Hays Street  
Tallahassee, FL 32301  
Phone: 850-558-1500

ACCOUNT NO. : I20000000195

REFERENCE : 957085 7548888

AUTHORIZATION :

COST LIMIT : \$ 1028.75

ORDER DATE : December 14, 2017

ORDER TIME : 3:51 PM

ORDER NO. : 957085-005

CUSTOMER NO: 7548888

FOREIGN FILINGS

NAME: VAN ECK SECURITIES CORPORATION

XXXX QUALIFICATION (TYPE: CO)

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

       CERTIFIED COPY  
       PLAIN STAMPED COPY  
XX        CERTIFICATE OF GOOD STANDING

CONTACT PERSON: Roxanne Turner -- EXT# 62969

EXAMINER: \_\_\_\_\_

FILED  
DEC 14 2017  
TALLAHASSEE, FL  
FEDERAL RESERVE BANK

## COVER LETTER

**TO:** Registration Section  
Division of Corporations

**SUBJECT:** Van Eck Securities 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:

Name of Person

Firm/Company

Address

City/State and Zip code

legalnotices@vaneck.com

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

For further information concerning this matter, please call:

Name of Person

Area Code

Daytime Telephone Number

**STREET/COURIER ADDRESS:**

Registration Section  
Division of Corporations  
Clifton Building  
2661 Executive Center Circle  
Tallahassee, FL 32301

**MAILING ADDRESS:**

Registration 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. Van Eck Securities 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. 13-5642980  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. August 1, 1955 5. \_\_\_\_\_  
(Date of incorporation) (Date of duration, if other than perpetual)
6. January 1, 2014  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 666 Third Avenue, 9th Fl., New York, NY 10017  
(Principal office address)
- \_\_\_\_\_  
(Current mailing address, if different)

8. 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)

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.*

Corporation Service Company

By: Roxanne Turner

(Registered agent's signature)

Roxanne Turner  
Asst. Vice President

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.

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

**A. DIRECTORS**

Chairman: Jan P. van Eck

Address: 666 Third Avenue, 9th Floor  
New York, NY 10017

Vice Chairman: None

Address:

Director: Bruce J. Smith

Address: 666 Third Avenue, 9th Floor  
New York, NY 10017

Director: Jonathan R. Simon

Address: 666 Third Avenue, 9th Floor  
New York, NY 10017

**B. OFFICERS**

President: Jan P. van Eck

Address: 666 Third Avenue, 9th Floor  
New York, NY 10017

Vice President: John J. Crimmins

Address: 666 Third Avenue, 9th Floor  
New York, NY 10017

Secretary: Jonathan R. Simon

Address: 666 Third Avenue, 9th Floor, New York, NY 10017

Treasurer: Bruce J. Smith

Address: 666 Third Avenue, 9th Floor, New York, NY 10017

**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. Matthew A. Babinsky

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

**ADDENDUM  
TO  
APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO  
TRANSACT  
BUSINESS IN FLORIDA**

**VAN ECK SECURITIES CORPORATION  
ADDITIONAL OFFICERS**

**Chief Executive Officer:** Jan F. van Eck, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Senior Vice President, Chief Financial Officer and Treasurer:** Bruce J. Smith, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Senior Vice President, General Counsel and Secretary:** Jonathan R. Simon, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Senior Vice President:** Susan Marino, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Senior Vice President:** Catherine Cardaci, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Senior Vice President:** William A. Best III, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President:** John J. Crimmins, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President, Controller and Financial and Operations Principal:** Lee Rappaport, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President:** Susan C. Lashley, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Chief Compliance Officer:** Irina Toyberman, 5100 W. Kennedy Blvd., Suite 450, Tampa, FL 33609

**Vice President and Chief Administrative Officer:** John Wolfe, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President:** Patrick Lulley, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President:** Kristen Capuano, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Vice President, Associate General Counsel and Assistant Secretary:** Laura Martinez, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Assistant Vice President, Assistant General Counsel and Assistant Secretary:** Matthew A. Babinsky, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

**Assistant Vice President:** Bryan S. Paisley, 666 Third Avenue, 9<sup>th</sup> Floor, New York, NY 10017

FILED  
REC'D  
AUG 15  
2017  
FEDERAL RESERVE BANK  
NEW YORK

# Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "VAN ECK SECURITIES 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 THIRTEENTH DAY OF DECEMBER, A.D. 2017.

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

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "VAN ECK SECURITIES CORPORATION" WAS INCORPORATED ON THE FIRST DAY OF AUGUST, A.D. 1955.

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


FILED  
2017 DEC 14 A 9:45  
TALLAHASSEE, FL 32304



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SR# 20177543544

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: 203748330

Date: 12-13-17