

7/29/2019

Division of Corporations

# F19000003478

**Note: Please print this page and use it as a cover sheet.** Type the fax audit number (shown below) on the top and bottom of all pages of the document.

(((H19000226049 3)))



H190002260493ABCO

**Note: DO NOT** hit the REFRESH/RELOAD button on your browser from this page. Doing so will generate another cover sheet.

To:

Division of Corporations  
Fax Number : (850)617-6383

From:

Account Name : C T CORPORATION SYSTEM  
Account Number : FCA000000023  
Phone : (614)280-3338  
Fax Number : (954)208-0845

**\*\*Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.\*\***

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

**FOREIGN PROFIT/NONPROFIT CORPORATION****NFP Retirement, Inc.**

Certificate of Status	0
Certified Copy	1
Page Count	05
Estimated Charge	\$78.75

RECEIVED  
19 JUL 29 AM 10:51  
SECRETARY OF STATE  
TALLAHASSEE, FL

FILED  
2019 JUL 29 AM 9:50  
TALLAHASSEE, FL

[Electronic Filing Menu](#)[Corporate Filing Menu](#)[Help](#)

B KINSEY  
JUL 30 2019

# 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.

NFP Retirement, Inc.

1. \_\_\_\_\_  
(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)  
California 33-0905143

2. \_\_\_\_\_ 3. \_\_\_\_\_  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

April 4, 2000

4. \_\_\_\_\_ 5. \_\_\_\_\_  
(Date of incorporation) (Date of duration, if other than perpetual)

6. \_\_\_\_\_  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

120 Vantis, Suite 400, Aliso Viejo, CA 92656

7. \_\_\_\_\_  
(Principal office address)

500 W. Madison Street, Suite 2710, Chicago, IL 60661

(Current mailing address, if different)

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

Name: C T Corporation System

Office Address: 1200 South Pine Island Road

Plantation, \_\_\_\_\_, Florida 33324  
(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.*

By: Stephen Rullis C T Corporation System  
Stephen Rullis, VP & Asst. Secy.  
(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.

2019 JUL 29 AM 9:50

FILED

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

**A. DIRECTORS**

See attached.

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

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

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

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

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

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

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

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

**B. OFFICERS**

See attached.

President: \_\_\_\_\_

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.

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.

Veronica Moo, Vice President

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

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

## NFP Retirement, Inc.

Name	Title	Address
Schnoicker, Brett	Director	340 Madison Avenue, 20th Floor, New York, NY 10173
O'Malley, Edward	Director	1250 Capital of Texas Highway S., Building 2, Suite 600, Austin, TX 78746
Moo, Veronica	Director	340 Madison Avenue, 20th Floor, New York, NY 10173
Della Vedova, Nicholas	President	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Giovinazzo, Vincent	Chief Executive Officer	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Chapman, Jami	Chief Operating Officer	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Chapman, Jami	Treasurer	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Giovinazzo, Vincent	Secretary	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Lieser, Lori M.	Vice President	500 W. Madison Street, Suite 2710, Chicago, IL 60661
Epstein, Ross M.	Vice President	340 Madison Avenue, 20th Floor, New York, NY 10173
Moo, Veronica	Vice President	340 Madison Avenue, 20th Floor, New York, NY 10173
Spradley, Suzanne	Vice President	1250 Capital of Texas Highway S., Building 2, Suite 600, Austin, TX 78746
Chapman, Jami	Assistant Secretary	120 Vantis, Suite 400, Aliso Viejo, CA 92656
Moo, Veronica	Assistant Secretary	340 Madison Avenue, 20th Floor, New York, NY 10173

# State of California

## Secretary of State

### CERTIFICATE OF STATUS

**ENTITY NAME:**

NFP RETIREMENT, INC.

FILE NUMBER:	C2228050
FORMATION DATE:	04/04/2000
TYPE:	DOMESTIC CORPORATION
JURISDICTION:	CALIFORNIA
STATUS:	ACTIVE (GOOD STANDING)

I, ALEX PADILLA, Secretary of State of the State of California, hereby certify:

The records of this office indicate the entity is authorized to exercise all of its powers, rights and privileges in the State of California.

No information is available from this office regarding the financial condition, business activities or practices of the entity.



IN WITNESS WHEREOF, I execute this certificate and affix the Great Seal of the State of California this day of July 25, 2019.

ALEX PADILLA  
Secretary of State