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FOREIGN PROFIT/NONPROFIT CORPORATION
APEX CLEARING CORPORATION

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JUN 19 2020

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. Apex Clearing 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. New York 3. 13-2967453
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. December 22, 1978 5. _____
(Date of incorporation) (Date of duration, if other than perpetual)

6. 6/18/2020
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 350 N. St. Paul Street, Suite 1300, Dallas, Texas 75201
(Principal office address)

_____ (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, 33324
(City) (Zip code)

Florida

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.

C.T. Corporation System

By: Kimberly Laughrey by Kimberly Laughrey, Asst. Sect.
(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.

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

A. DIRECTORS

Chairman: _____

Address: _____

Vice Chairman: _____

Address: _____

Director: William Capuzzi

Address: 350 N. St. Paul Street, Suite 1300

Dallas, TX 75201

Director: Jay Coppoletta

Address: 141 W. Jackson Blvd., Suite 500

Chicago, IL 60604

B. OFFICERS

President: William Capuzzi

Address: 350 N. St. Paul Street, Suite 1300

Dallas, TX 75201

Vice President: _____

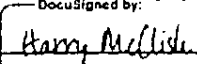
Address: _____

Secretary: Harry McClish

Address: 350 N. St. Paul Street, Suite 1300, Dallas, TX 75201

Treasurer: Andrew Scaman

Address: 350 N. St. Paul Street, Suite 1300, Dallas, TX 75201

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.12.  Signature of Director or Officer
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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. Harry McClish, Secretary

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

State of New York Department of State } ss:

I hereby certify, that the Certificate of Incorporation of APEX CLEARING CORPORATION was filed on 12/22/1978, under the name of Q & R CLEARING CORPORATION, with perpetual duration, and that a diligent examination has been made of the Corporate Index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is an existing corporation.

A Certificate of Amendment Q & R CLEARING CORPORATION, changing its name to U.S. CLEARING CORP., was filed 07/31/1989.

A Certificate of Amendment U.S. CLEARING CORP., changing its name to FLEET SECURITIES, INC., was filed 02/02/1998.

A Certificate of Amendment FLEET SECURITIES, INC., changing its name to ADP CLEARING & OUTSOURCING SERVICES, INC., was filed 11/01/2004.

A Certificate of Amendment ADP CLEARING & OUTSOURCING SERVICES, INC., changing its name to RIDGE CLEARING & OUTSOURCING SOLUTIONS, INC., was filed 07/09/2007.

A Certificate of Amendment RIDGE CLEARING & OUTSOURCING SOLUTIONS, INC., changing its name to APEX CLEARING CORPORATION, was filed 06/05/2012.



Witness my hand and the official seal
of the Department of State at the City
of Albany, this 16th day of June
two thousand and twenty.

Brendan C. Hughes

Brendan C. Hughes
Executive Deputy Secretary of State