

F21000002309

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

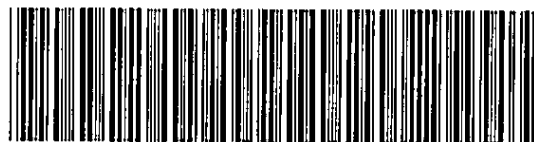
(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

W21000050433
00694 00524
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04/14/21--01004--017 **70.00

03/15/21--01036--006 **750.00

SKF
4/27/21

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: First Kentucky 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:

Ryan O'Connor

Name of Person

First Kentucky Securities Corporation

Firm/Company

4360 Brownsboro Road, Suite 300

Address

Louisville, KY 40207

City/State and Zip code

ryan@firstky.com

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

For further information concerning this matter, please call:

Ryan O'Connor

at (502) 238-7743

Name of Person

Area Code

Daytime Telephone Number

STREET/COURIER ADDRESS:

Registration Section
Division of Corporations
The Centre of Tallahassee
2415 N. Monroe Street, Suite 810
Tallahassee, FL 32303

MAILING ADDRESS:

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Enclosed is a check for the following amount:

Please make check payable to: **FLORIDA DEPARTMENT OF STATE**

- | | | | |
|---|--|---|---|
| <input type="checkbox"/> \$70.00 Filing Fee | <input type="checkbox"/> \$78.75 Filing Fee &
Certificate of Status | <input type="checkbox"/> \$78.75 Filing Fee &
Certified Copy | <input type="checkbox"/> \$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. First Kentucky Securities Corporation
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")
- FKSC
(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)
2. Kentucky 3. _____
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 9/30/1977 5. _____
(Date of incorporation) (Date of duration, if other than perpetual)
6. 2016
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)
7. 4360 Brownsboro Road, Louisville KY 40207
(Principal office street address)

(Current mailing address, if different)

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

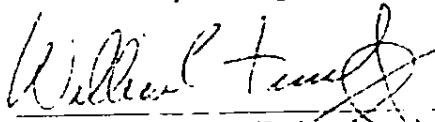
Name: William Fenwick

Office Address: 2662 Bolero Dr. Unit 1002

Naples , Florida 34109
(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.


(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. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors [up to six (6) total]:

A. DIRECTORS

☒ Chairman Name: R. Strand Kramer
☐ Vice Chairman Address: 1500 Leestown Rd, Suite 330
☐ Director Lexington, KY 40511
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

☐ Chairman Name: Bruce McCrea
☐ Vice Chairman Address: 4360 Brownsboro Rd, Suite 300
☒ Director Louisville, KY 40207
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

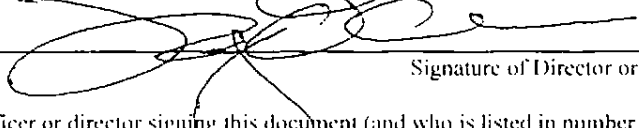
☐ Chairman Name: Tyler Current
☐ Vice Chairman Address: 4360 Brownsboro Rd, Suite 300
☒ Director Louisville, KY 40207
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

☐ Chairman Name: William Fenwick
☐ Vice Chairman Address: 4360 Brownsboro Rd, Suite 300
☒ Director Louisville, KY 40207
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

☐ Chairman Name: Bryan McCrea
☐ Vice Chairman Address: 4360 Brownsboro Rd, Suite 300
☒ Director Louisville, KY 40207
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

☐ Chairman Name: Kevin O'Connor
☐ Vice Chairman Address: 4360 Brownsboro Rd, Suite 300
☒ Director Louisville, KY 40207
☐ President _____
☐ Vice President _____
☐ Secretary _____ ☐ Treasurer _____
☐ Other _____ ☐ Other _____

Important Notice: Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals may be added to the index when filing your Florida Department of State Annual Report form.

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. Ryan O'Connor, CFO
(Typed or printed name and capacity of person signing application)

Title	Name	Address
Chairman	R. Strand Kramer	1500 Leestown Road, Suite 330, Lexington, KY 40511
Director	Bruce McCrea	4360 Brownsboro Road, Suite 300, Louisville, KY 40207
Director	Tyler Current	4360 Brownsboro Road, Suite 300, Louisville, KY 40207
Director	William Fenwick	4360 Brownsboro Road, Suite 300, Louisville, KY 40207
Director	Bryan McCrea	4360 Brownsboro Road, Suite 300, Louisville, KY 40207
Director	Ryan O'Connor	4360 Brownsboro Road, Suite 300, Louisville, KY 40207
Director	Kevin O'Connor	4360 Brownsboro Road, Suite 300, Louisville, KY 40207

Commonwealth of Kentucky
Michael G. Adams, Secretary of State

Michael G. Adams
Secretary of State
P. O. Box 718
Frankfort, KY 40602-0718
(502) 564-3490
<http://www.sos.ky.gov>

Certificate of Existence

Authentication number: 243352

Visit <https://web.sos.ky.gov/ftshow/certvalidate.aspx> to authenticate this certificate.

I, Michael G. Adams, Secretary of State of the Commonwealth of Kentucky, do hereby certify that according to the records in the Office of the Secretary of State,

FIRST KENTUCKY SECURITIES CORPORATION

is a corporation duly incorporated and existing under KRS Chapter 14A and KRS Chapter 271B, whose date of incorporation is September 30, 1977 and whose period of duration is perpetual.

I further certify that all fees and penalties owed to the Secretary of State have been paid; that Articles of Dissolution have not been filed; and that the most recent annual report required by KRS 14A.6-010 has been delivered to the Secretary of State.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my Official Seal at Frankfort, Kentucky, this 5th day of March, 2021, in the 229th year of the Commonwealth.



Michael G. Adams

Michael G. Adams
Secretary of State
Commonwealth of Kentucky
243352/0083440



FLORIDA DEPARTMENT OF STATE
Division of Corporations

April 14, 2021

RYAN O'CONNOR
4360 BROWNSBORO ROAD STE 300
LOUISVILLE, KY 40207 US

SUBJECT: FIRST KENTUCKY SECURITIES CORPORATION
Ref. Number: W21000050433

We have received your document for FIRST KENTUCKY SECURITIES 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):

You must list the names and street addresses of the officers and directors of the corporation on the form/application.

Please remove the word "same" and add the appropriate addresses for the officers and also where there are 2 extra blanks on the application, please add the other officers.

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.

Sharon D Franklin
Regulatory Specialist II

Letter Number: 021A00007717

RECEIVED
APR 26 2021