

F21000005290

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

PICK-UP     WAIT     MAIL

(Business Entity Name)

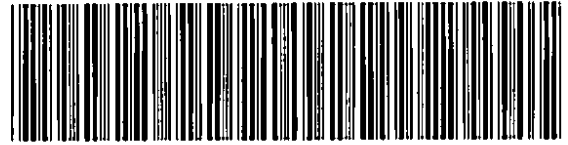
(Document Number)

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

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2021 SEP -1 PM 3:43

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SECRETARY OF REVENUE

2021 09 01

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

ACCOUNT NO. : I20000000195  
REFERENCE : 975776 4380545  
AUTHORIZATION : *Sybil Coleman*  
COST LIMIT : \$ 70.00

-----  
ORDER DATE : August 25, 2021  
ORDER TIME : 10:09 AM  
ORDER NO. : 975776-005  
CUSTOMER NO: 4380545  
-----

FOREIGN FILINGS

NAME: CONNECTONE BANK

XXXX QUALIFICATION (TYPE: CO)

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

\_\_\_\_\_ CERTIFIED COPY  
XX \_\_\_\_\_ PLAIN STAMPED COPY  
\_\_\_\_\_ CERTIFICATE OF GOOD STANDING

CONTACT PERSON: Alexxis Weiland -- EXT# 61592

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

## COVER LETTER

**TO:** Registration Section  
Division of Corporations

**SUBJECT:** ConnectOne Bank

\_\_\_\_\_  
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:

Laura Criscione

\_\_\_\_\_  
Name of Person

ConnectOne Bank

\_\_\_\_\_  
Firm/Company

301 Sylvan Avenue,

\_\_\_\_\_  
Address

Englewood Cliffs, New Jersey 07632

\_\_\_\_\_  
City/State and Zip code

lcriscione@cnoob.com

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

For further information concerning this matter, please call:

Gregory Krauss

at ( 732 ) 448-2513

\_\_\_\_\_  
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**

\$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. ConnectOne Bank
(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 Jersey 3. 20-1172127
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. January 15, 2005 5.
(Date of incorporation) (Date of duration, if other than perpetual)

6. July 26, 2021
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 301 Sylvan Avenue, Englewood Cliffs, NJ 07069
(Principal office street 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)

2021 SEP - 1 PM 3:43

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: Eyleine Brown
(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: Frank Sorrentino III  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 Vice President \_\_\_\_\_  
 Secretary \_\_\_\_\_  Treasurer \_\_\_\_\_  
 Other CEO  Other \_\_\_\_\_

Chairman Name: Anson M Moise, M.D.  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 Vice President \_\_\_\_\_  
 Secretary \_\_\_\_\_  Treasurer \_\_\_\_\_  
 Other \_\_\_\_\_  Other \_\_\_\_\_

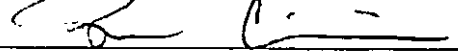
Chairman Name: Elizabeth Magennis  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 Vice President \_\_\_\_\_  
 Secretary \_\_\_\_\_  Treasurer \_\_\_\_\_  
 Other \_\_\_\_\_  Other \_\_\_\_\_

Chairman Name: Katherin Nukk-Freeman  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 Vice President \_\_\_\_\_  
 Secretary \_\_\_\_\_  Treasurer \_\_\_\_\_  
 Other \_\_\_\_\_  Other \_\_\_\_\_

Chairman Name: Frank W. Baier  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 Vice President \_\_\_\_\_  
 Secretary \_\_\_\_\_  Treasurer \_\_\_\_\_  
 Other \_\_\_\_\_  Other \_\_\_\_\_

Chairman Name: Joseph Parisi, Jr.  
 Vice Chairman Address: c/o ConnectOne Bank  
 Director 301 Sylvan Avenue  
 President Englewood Cliffs, NJ 07059  
 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. Laura Criscione EVP + chief compliance officer  
(Typed or printed name and capacity of person signing application)

**Directors (continued):**

Stephen T. Boxwell Lead Independent Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	Daniel Rifkin, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059
Frank Huttle III, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	Mark Sokolich, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059
Michael Kempner, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	William A. Thompson, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059
Nicholas Minoia, Director c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	

**Executive Officers Who Are Not Directors:**

William S. Burns EVP & Chief Financial Officer c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	Christopher Ewing EVP & Chief Operations Officer c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059
Laura Criscione EVP & Chief Compliance Officer c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059	Michael O'Malley EVP & Chief Risk Officer c/o ConnectOne Bank 301 Sylvan Avenue Englewood Cliff, NJ 07059

# STATE OF NEW JERSEY



## DEPARTMENT OF BANKING AND INSURANCE DIVISION OF BANKING

*August 23, 2021*

*TO WHOM IT MAY CONCERN:*

*THIS IS TO CERTIFY that **ConnectOne Bank**, with its principal office located at 301 Sylvan Avenue, Englewood Cliffs, Bergen County, New Jersey, is a corporation authorized by the Commissioner of the New Jersey Department of Banking and Insurance to transact business in this State in accordance with The Banking Act of 1948, as amended. The deposit accounts of **ConnectOne Bank** are insured by the Federal Deposit Insurance Corporation.*

*Choyanne Li*

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*Cheyanne Li  
Chief Examiner  
Applications and Corporate Filings*



Commissioner Russell C. Weigel, III

June 20, 2021

Gregory Krauss  
120 Albany Street Plaza  
New Brunswick, New Jersey 08901

Re: ConnectOne Bank

Dear Mr. Krauss:

Reference is made to your recent letter requesting approval to register the above-referenced name with the Florida Secretary of State by ConnetOne Bank. The bank is a New Jersey state-chartered bank, headquartered in Englewood Cliffs, New Jersey, and regulated by the New Jersey Department of Banking and Insurance.

Section 655.922, Florida Statutes, exempts a financial institution, holding company or its subsidiaries from the prohibition of using the word "bank," "banco," "banque," "banker," "banking," "trust company," "savings and loan association," "savings bank," or "credit union," or words of similar import, in any context or in any manner in its corporate name. Therefore, this Office will not object to the use of the above referenced name being registered to transact business in the state of Florida. However, this correspondence is not intended to grant the authority to act in any licensed capacity until all licensing requirements have been met within this state.

Sincerely,

Russell C. Weigel, III  
Commissioner  
Office of Financial Regulation

RCW:jrj

cc: Gina McLeod, Chief, Bureau of Commercial Recordings, Division of Corporations,  
Department of State