

F22000002320

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

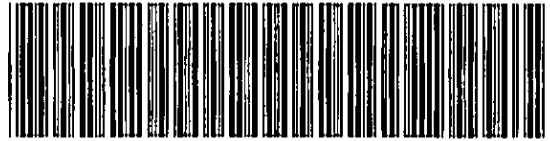
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SECRETARY OF STATE
TALLAHASSEE, FLORIDA

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Dynasty Financial Partners Inc.

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:

Jonathan Morris, Esq.

Name of Person

Dynasty Financial Partners Inc.

Firm/Company

200 Central Avenue, 15th Floor

Address

St. Petersburg, Florida 33701

City/State and Zip code

jmorris@dynastyfinancialpartners.com

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

For further information concerning this matter, please call:

Christopher O'Brien

at (518) 469-2387

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. Dynasty Financial Partners Inc.
(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. 87-2285565
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 8/16/2021 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)
7. 200 Central Avenue, 15th floor St. Petersburg, FL 33701
(Principal office street address)

(Current mailing address, if different)

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


Name: Christopher O'Brien

Office Address: 200 Central Avenue, 15th Floor

St. Petersburg, Florida 33701
(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]:

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TALLAHASSEE, FLORIDA

A. DIRECTORS.

☐ Chairman Name: Shirl Penney
☐ Vice Chairman Address: _____
☒ Director 3103 West Maritana Dr
☒ President St Pete Beach, FL 33706
☐ Vice President _____
☐ Secretary ☐ Treasurer
☐ Other _____ ☐ Other _____

☐ Chairman Name: Edward Swenson
☐ Vice Chairman Address: _____
☐ Director 2907 W Villa Rosa Tampa, FL 33611
☐ President _____
☐ Vice President _____
☐ Secretary ☐ Treasurer
☒ Other COO ☐ Other _____


☐ Chairman Name: Justin Weinkle
☐ Vice Chairman Address: 1191 36th Avenue NE
☐ Director St Petersburg, FL 33704
☐ President _____
☐ Vice President _____
☐ Secretary ☐ Treasurer
☒ Other CFO ☐ Other _____

☐ Chairman Name: Jonathan Morris
☐ Vice Chairman Address: _____
☐ Director 1 Beach Drive, Apt 1407
☐ President St Petersburg, FL 33701
☐ Vice President _____
☐ Secretary ☐ Treasurer
☒ Other General Counsel ☐ Other _____

☐ Chairman Name: _____
☐ Vice Chairman Address: _____
☐ Director _____
☐ President _____
☐ Vice President _____
☐ Secretary ☐ Treasurer
☐ Other _____ ☐ Other _____

☐ Chairman Name: _____
☐ Vice Chairman Address: _____
☐ Director _____
☐ 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. Jonathan Morris, General Counsel
(Typed or printed name and capacity of person signing application)

Delaware

The First State


Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED ARE TRUE AND CORRECT COPIES OF ALL DOCUMENTS ON FILE OF "DYNASTY FINANCIAL PARTNERS INC." AS RECEIVED AND FILED IN THIS OFFICE.

THE FOLLOWING DOCUMENTS HAVE BEEN CERTIFIED:

CERTIFICATE OF INCORPORATION, FILED THE SIXTEENTH DAY OF AUGUST, A.D. 2021, AT 3:13 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE AFORESAID CERTIFICATES ARE THE ONLY CERTIFICATES ON RECORD OF THE AFORESAID CORPORATION, "DYNASTY FINANCIAL PARTNERS INC.".



Jeffrey W. Bullock, Secretary of State

6169996 8100H
SR# 20220699983

You may verify this certificate online at corp.delaware.gov/authver.shtml

Authentication: 202764478
Date: 02-25-22

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THAT "DYNASTY FINANCIAL PARTNERS INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE NOT HAVING BEEN CANCELLED OR DISSOLVED SO FAR AS THE RECORDS OF THIS OFFICE SHOW AND IS DULY AUTHORIZED TO TRANSACT BUSINESS.

THE FOLLOWING DOCUMENTS HAVE BEEN FILED:

CERTIFICATE OF INCORPORATION, FILED THE SIXTEENTH DAY OF AUGUST, A.D. 2021, AT 3:13 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE AFORESAID CERTIFICATE IS THE ONLY PAPER OF RECORD, THE CORPORATION IN QUESTION NOT HAVING FILED AN AMENDMENT NOR HAVING MADE ANY CHANGE WHATSOEVER IN THE ORIGINAL CERTIFICATE AS FILED.

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

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



A handwritten signature in black ink, appearing to read "JBullock", is written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed in a small font.

6169996 8315

SR# 20220699983

You may verify this certificate online at corp.delaware.gov/authver.shtml

Authentication: 202764425

Date: 02-25-22

Dear Ms. Griffin-Greaux:

We are in receipt of your letter dated March 29, 2022, in reference to the application of Dynasty Financial Partners Inc. to transact business in Florida. The letter states that the name of the corporation is not available in Florida and an alternate name must be used. Attached for your reference is your letter (number 822A00007264), along with the registration forms that were delivered to your office on March 4, 2022.

Pursuant to a discussion with your office, I was advised that the denial was based on the fact that there is another entity with a similar name – “Dynasty Financial Partners, LLC” – that is authorized to do business in Florida. When I explained to your office that the similarly named entity (Dynasty Financial Partners, LLC) is the owner of the applicant (Dynasty Financial Partners Inc.), I was asked to email a letter clarifying the relationship between the parties so that authorization would be granted.

Accordingly, please be advised that the applicant entity (Dynasty Financial Partners Inc.) is wholly owned by the entity identified with the similar name (Dynasty Financial Partners, LLC). Moreover, note that the management of both entities is the same, they are both located at the same address in Florida, and the undersigned is the registered agent for Dynasty Financial Partners, LLC, and is also the registered agent in the application of Dynasty Financial Partners Inc. Attached for your reference is Dynasty Financial Partners, LLC’s certification to transact business in Florida.

Therefore, there should be no issue with respect to the similarity of the names and as such, it is respectfully requested that the registration for Dynasty Financial Partners Inc. to transact business in Florida be approved. Please do not hesitate to contact me with any questions or if you need additional information.

Sincerely,

A handwritten signature in black ink that reads "Christopher O'Brien". The script is cursive and fluid, with the first name and last name clearly legible.

Christopher O'Brien
SVP and Senior Counsel
Dynasty Financial Partners, LLC
518.469.2387 (mobile)