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CT CORPORATION SYSTEM

Requestor's Name

660 East Jefferson Street

Address

Tallahassee, FL 32301 222-1092

City

State

Zip

Phone

300002435143--6

-02/19/98-01049-017

\*\*\*\*\*70.00 \*\*\*\*\*70.00

CORPORATION(S) NAME

Fleet Securities, Inc.

☒ Profit

☐ NonProfit

☐ Limited Liability Co.

☒ Foreign

☐ Limited Partnership

☐ Reinstatement

☐ Certified Copy

☐ Call When Ready

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☐ Amendment

☐ Dissolution/Withdrawal

☐ Annual Report

☐ Reservation

☐ Photo Copies

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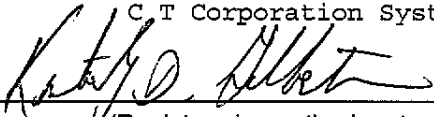
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CR2E031 (1-89)

# 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. Fleet Securities, Inc.  
(Name of corporation: must include the word "INCORPORATED", "COMPANY", "CORPORATION", or words or abbreviations of like import in language as will clearly indicate that it is a corporation instead of a natural person or partnership if not so contained in the name at present.)
2. New York  
(State or country under the law of which it is incorporated)
3. 13-2967453  
(FEI number, if applicable)
4. December 22, 1978  
(Date of incorporation)
5. Perpetual  
(Duration: Year corp. will cease to exist or "perpetual")
6. February 2, 1998  
(Date first transacted business in Florida. (See sections 607.1501, 607.1502, and 817.156, F.S.))
7. 26 Broadway, New York, New York 10004  
(Current mailing address)
8. See attached purpose clause  
(Purpose(s) of corporation authorized in home state or country to be carried out in the state of Florida)
9. Name and street address of Florida registered agent:  
Name: C T Corporation System  
Office Address: c/o C T Corporation System, 1200 South Pine Island Road  
Plantation, Florida, 33324  
(Zip Code)
10. Registered agent 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 obligation of my position as registered agent.*

C T Corporation System  
  
(Registered agent's signature) (Officer)

Kimberly D. Gilbertson, Asst. Secy.  
(Type Name and Title of Officer)

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11. 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.

12. Names and addresses of officers and/or directors:

A. DIRECTORS

Chairman: See attached list of directors

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

Vice Chairman: See attached list of directors

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

Director: See attached list of directors

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

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

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

B. OFFICERS

President: See attached list of officers

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

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

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

Secretary: \_\_\_\_\_

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

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Appendix to Florida  
Application by Fgn. Corp. for Authorization to Transact Business in Florida

**Purpose Clause of  
Fleet Securities, Inc.**

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to engage in the business of clearing securities transactions for broker-dealers, to transact business as a broker-dealer and to engage in any lawful activities for which corporations may be formed under the laws of the applicable jurisdiction

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**FLEET SECURITIES, INC.**

**DIRECTORS**

Pascal J. Mercurio  
26 Broadway  
New York, New York 10004

Leslie C. Quick, III  
26 Broadway  
New York, New York 10004

Thomas C. Quick  
26 Broadway  
New York, New York 10004

Leslie C. Quick, Jr.  
26 Broadway  
New York, New York 10004

Gunnar Overström  
26 Broadway  
New York, New York 10004

Eugene McQuade  
26 Broadway  
New York, New York 10004

Joseph Harcum  
26 Broadway  
New York, New York 10004

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**FLEET SECURITIES, INC.**

**OFFICERS**

Name

Pascal J. Mercurio  
Chairman of the Board, CEO  
26 Broadway  
New York, New York 10004

Leslie C. Quick III  
President, Treasurer, COO  
26 Broadway  
New York, New York 10004

Thomas C. Quick  
Vice President, Secretary  
26 Broadway  
New York, New York 10004

Mary Elizabeth O'Hern  
Assistant Secretary  
26 Broadway  
New York, New York 10004

Joel L. Hirstreet  
Senior Vice President, CFO  
26 Broadway  
New York, New York 10004

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Treasurer: \_\_\_\_\_

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

NOTE: If necessary, you may attach an addendum to the application listing additional officers and/or directors.

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

(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. \_\_\_\_\_

heslie C. Quick, III President

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

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**State of New York** } ss:  
**Department of State**

I hereby certify, that the certificate of incorporation of FLEET SECURITIES, INC. 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 index of corporation papers filed in 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 a subsisting corporation.

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

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

The Corporation Biennial Statement is past due.

\*\*\*  
Witness my hand and the official seal  
of the Department of State at the City  
of Albany, this 12th day of February  
one thousand nine hundred and  
ninety-eight.  
  
Special Deputy Secretary of State

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