

F99000001632

TRANSMITTAL LETTER

To: Qualification/Tax Lien Section
Division of Corporations

SUBJECT: RICKEL SECURITIES, INC.
(Name of corporation - must include suffix)

Dear Sir or Madam:

600002806116--0

-03/15/99--01116--005

*****78.75 *****78.75

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida",
"Certificate of Existence", and check are submitted to register the above referenced foreign corporation to
transact business in Florida.

w99-6221

Please return all correspondence concerning this matter to the following:

MICHAEL TORRES
(Name of Person)
RICKEL SECURITIES, INC.
(Firm/Company)
45 ESSEX ST.
(Address)
MILLBURN, NJ 07041
(City/State/Zip)

Should you need to call someone concerning this matter, please call:

MICHAEL TORRES at (973) 379-0300
(Name of Person) (Area Code & Daytime Telephone Number)

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DIVISION OF CORPORATIONS
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STREET ADDRESS:

Qualification/Tax Lien Section
Division of Corporations
409 E. Gaines St.
Tallahassee, FL 32399

MAILING ADDRESS:

Qualification/Tax Lien Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

4mth
3/26

Enclosed is a check for the following amount:

- ☐ \$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



FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

March 15, 1999

MICHAEL TORRES
RICKEL SECURITIES, INC.
45 ESSEX ST.
MILLBURN, NJ 07041

SUBJECT: RICKEL SECURITIES, INC.
Ref. Number: W99000006221

We have received your document for RICKEL SECURITIES, INC. and your check(s) totaling \$78.75. However, the document has not been filed and is being retained in this office for the following:

A certificate of existence, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

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) 487-6097.

Michael Mays
Document Specialist

Letter Number: 699A00012339

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**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. RICKEL 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 JERSEY 3. 22-3482135
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 12/17/96 5. PERPETUAL
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. UPON QUALIFICATION
(Date first transacted business in Florida.) (SEE SECTIONS 607.1501, 607.1502 and 817.155, F.S.)
7. _____
45 ESSEX ST. MILLBURN, N.J. 07041
(Current mailing address)
8. Securities Brokerage Firm
(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)
9. Name and street address of Florida registered agent: (P.O. Box or Mail Drop Box **NOT** acceptable)
Name: EDWARD McWILLIAMS
Office Address: 13400 South CLEVELAND Ave Suite 201
FT. MYERS, Florida, 33907
(Zip code)

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DIVISION OF CORPORATIONS

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10. 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)

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.

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12. Names and addresses of officers and/or directors: (Street address ONLY - P.O. Box NOT acceptable)

A. DIRECTORS (Street address only - P.O. Box NOT acceptable)

Chairman: JOHN C. SABO

Address: ~~124 HABART AVE~~ 303 WHITE OAK Ridge ROAD
~~SUMMIT, NJ 07901~~ SHORT HILLS, NJ 07078

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS (Street address only - P.O. Box NOT acceptable)

President: ARNOLD I. COHEN

Address: 120 NOTTINGHAM DR.
WATCHUNG, NJ 07060

Vice President: _____

Address: _____

Secretary: JOHN C. SABO

Address: ~~124 HABART AVE~~ 303 WHITE OAK Ridge ROAD
~~SUMMIT, NJ 07901~~ SHORT HILLS, NJ 07078

Treasurer: ANTHONY D. BRANCA

Address: 1228 MAGNOLIA PLACE
UNION, NJ 07083

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

13. Anthony D. Branca SR VP
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. ANTHONY D. BRANCA SR VP
(Typed or printed name and capacity of person signing application)

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*STATE OF NEW JERSEY
DEPARTMENT OF TREASURY
SHORT FORM STANDING*

RICKEL SECURITIES, INC.

*I, the Treasurer of the State of New Jersey,
do hereby certify that the above-named
New Jersey Domestic Profit Corporation was
registered by this office on December 17, 1996.*

*As of the date of this certificate, said business
continues as an active business in good standing
in the State of New Jersey, and its Annual Reports
are current.*

*I further certify that the registered agent and
registered office are:*

*John Sabo
45 Essex St
Millburn, NJ 07041*

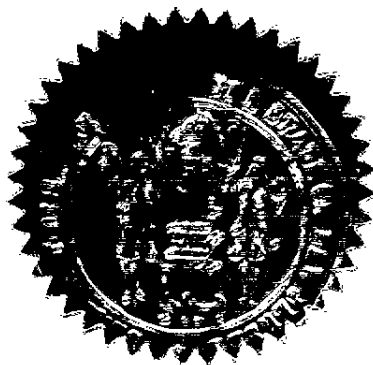
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STATE OF NEW JERSEY
DEPARTMENT OF TREASURY
SHORT FORM STANDING

RICKEL SECURITIES, INC.

IN TESTIMONY WHEREOF, I have
hereunto set my hand and
affixed my Official Seal
at Trenton, this
24th day of March, 1999



James A. DiEleuterio, Jr.

James A DiEleuterio, Jr.
Treasurer

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