

F99000000 3642

TRANSMITTAL LETTER

To: Qualification/Tax Lien Section
Division of Corporations

SUBJECT: GAMCO Investors, 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", 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:

000002918430--6
-06/29/99-01042-003
*****87.50 *****87.50

Peter D. Goldstein
(Name of Person)

W99-15463

GAMCO Investors, Inc.
(Firm/Company)

One Corporate Center
(Address)

Rye, New York 10580
(City/State/Zip)

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

Peter D. Goldstein at (914) 921-5069
(Name of Person) (Area Code & Daytime Telephone Number)

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SECRETARY OF
STATE
JUL 12 AM 9:09

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

mtu
7/15

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

July 2, 1999

PETER D. GOLDSTEIN
GAMCO INVESTORS, INC.
ONE CORPORATE CENTER
RYE, NY 10580

SUBJECT: GAMCO INVESTORS, INC.
Ref. Number: W99000015463

We have received your document for GAMCO INVESTORS, INC. and your check(s) totaling \$87.50. However, the enclosed document has not been filed and is being returned for the following correction(s):

The date first transacted business in Florida within the meaning of s. 607.1501 or 608.501, F.S., must be set forth in section 6 of the application. If the corporation/limited liability company has not yet transacted business in Florida within this meaning, please insert the words "upon qualification" in lieu of a date. (Note: Pursuant to s. 607.1502(4), F.S., this office collects a civil penalty of \$1000 for each year other than the application filing year, that a foreign corporation or limited liability company transacts business in this state without authority along with the past annual report fees due this office.)

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: 799A00034961

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SECRETARY OF STATE
JUL 2 1999
9:09 AM

**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. GAMCO Investors, 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. 13-2951242

(FEI number, if applicable)

4. February 9, 1999

(Date of incorporation)

5. Perpetual

(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. Plaza Center, Suite 503, 249 Royal Palm Way

Palm Beach, Florida 33480

(Current mailing address)

8. Registered Investment Adviser

(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: Gerald Mathison

Office Address: Plaza Center, Suite 503

249 Royal Palm Way, Palm Beach, Florida, 33480

(Zip code)

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.

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

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

Chairman: Joseph R. Rindler, Jr.

Address: One Corporate Center

Rye, New York 10580

Vice Chairman: _____

Address: _____

Director: F. William Scholz II

Address: One Corporate Center

Rye, New York 10580

Director: Regina M. Pitaro

Address: One Corporate Center

Rye, New York 10580

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

CEO

~~President:~~ Mario J. Gabelli

Address: One Corporate Center

Rye, New York 10580

Executive

Vice President: Douglas R. Jamieson

Address: One Corporate Center

Rye, New York 10580

Secretary: James E. McKee

Address: One Corporate Center

Rye, New York 10580

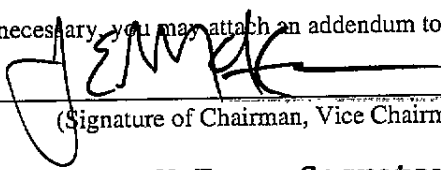
CFO

~~Treasurer:~~ Robert S. Zuccaro

Address: 401 Theodore Fremd Avenue

Rye, New York 10580

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. James E. McKee, Secretary
(Typed or printed name and capacity of person signing application)

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

I hereby certify, that the certificate of incorporation of GAMCO INVESTORS, INC. was filed on 02/09/1999, under the name of NEW INSTITUTIONAL SERVICES, INC., 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 NEW INSTITUTIONAL SERVICES, INC., changing name to GAMCO INVESTORS, INC., was filed 03/04/1999.

*Witness my hand and the official seal
of the Department of State at the City
of Albany, this 17th day of June
one thousand nine hundred and
ninety-nine.*



Special Deputy Secretary of State

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SECRETARY OF STATE
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