

2002 UNIFORM BUSINESS REPORT (UBR)

FILED
Mar 12, 2002 8:00 am
Secretary of State

0044203

01-28-2002 90025 001 ***875.00

DOCUMENT # M01000002014

1. Entity Name

HERZOG, HEINE, GEDULD, LLC

Principal Place of Business

**525 WASHINGTON BLVD. - 17TH FLOOR
 JERSEY CITY NJ 07310**

Mailing Address

**525 WASHINGTON BLVD. - 17TH FLOOR
 JERSEY CITY NJ 07310**

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country



DO NOT WRITE IN THIS SPACE

13-1955436

4. FEI Number

APPLIED FOR

Applied For

Not Applicable

5. Certificate of Status Desired

**\$5.00 Additional
 Fee Required**

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**C T CORPORATION SYSTEM
 1200 SOUTH PINE ISLAND ROAD
 PLANTATION FL 33324**

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

**FILE NOW!!! FEE IS \$50.00
 Make Check Payable to Department of State
 Due By May 1, 2002**

9. MANAGING MEMBERS/MANAGERS

10. ADDITIONS/CHANGES

TITLE: **MANAGING DIRECTOR**
 NAME: **Thomas Wright** Delete
 STREET ADDRESS: **48 Townsend Rd**
 CITY-ST-ZIP: **SCARSDALE NY 10510**

TITLE: **MANAGER - MGR**
 NAME: **ROBERT McANN** Change Addition
 STREET ADDRESS: **32 PARK LANE**
 CITY-ST-ZIP: **MADISON, NJ 07940**

TITLE: **SVP & General Counsel**
 NAME: **CHRISTOFILIS, CHARLES** Delete
 STREET ADDRESS: **518 POPPY COURT**
 CITY-ST-ZIP: **LANGHORNE, PA 19047**

TITLE: **MANAGER - MGR**
 NAME: **CARLOS MORALES** Change Addition
 STREET ADDRESS: **10 RIVERSIDE DRIVE**
 CITY-ST-ZIP: **NEW YORK, NY 10024**

TITLE: **CFO**
 NAME: **BRADLEY KEN** Delete
 STREET ADDRESS: **34. KILBURN RD**
 CITY-ST-ZIP: **GARDEN CITY, NY 11530**

TITLE: **MANAGER - MGR**
 NAME: **PAUL D. ROY** Change Addition
 STREET ADDRESS: **WESTWOOD ROAD**
 CITY-ST-ZIP: **LENDWOOD, WINLBSHAM UK GU206PT**

TITLE: **SVP | DIRECTOR OF COMPLIANCE**
 NAME: **ALAN DELAURO** Delete
 STREET ADDRESS: **299 SYWAN STREET**
 CITY-ST-ZIP: **RUTHERFORD, NJ 07070**

TITLE: Change Addition

TITLE: **SVP & CHIEF OPERATIONS OFFICER**
 NAME: **JOSEPH FRAZZITA** Delete
 STREET ADDRESS: **12 ASDEN COURT**
 CITY-ST-ZIP: **HOLMDEL, NJ 07733**

TITLE: Change Addition

TITLE: **MEMBER - MGR**
 NAME: **MERRILL LYNCH & Co., Inc.** Delete
 STREET ADDRESS: **250 VESEY ST.**
 CITY-ST-ZIP: **NEW YORK, NY 10080**

TITLE: Change Addition

11. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING MANAGING MEMBER, MANAGER, OR AUTHORIZED REPRESENTATIVE

Date

Daytime Phone #

[Handwritten Signature]

1/16/02 (201) 418-4152

CR2E083 (8/01)



HERZOG HEINE GEDULD

Established 1926. Member of the New York Stock Exchange.
A Merrill Lynch Company

Attachment



HM 01000006204

17514

Daniel Glatter
Attorney
Legal and Compliance

Tel: (201) 418-4374
Fax: (201) 419-4367
dglatter@herzog.com

January 22, 2002

Limited Liability Company
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314-6327

Re: 2002 Uniform Business Report (UBR)

Dear Sir or Madam:

Enclosed please find a fully executed original copy of the UBR for Herzog, Heine, Geduld, LLC as well as check number 240643 in the amount of \$875.00 made payable to "Department of State" for the associated filing fees.

Thank you for your assistance with this matter. Please feel free to contact me at the above-listed number if you have any additional questions.

Very truly yours,


Daniel Glatter



HERZOG HEINE GEDULD

Established 1926. Member of the New York Stock Exchange.
A Merrill Lynch Company

Attachment
17514

#MO100000204

Daniel Glatter
Attorney
Legal and Compliance

Tel: (201) 418-4374
Fax: (201) 419-4367
dglatter@herzog.com

February 26, 2002

Florida Department of State
Division of Corporations
P.O. Box 6327
Tallahassee, Florida 32314

Re: Herzog, Heine, Geduld, LLC

Dear Sir or Madam:

I am writing in connection with the enclosed letter regarding the UBR previously filed for the above-referenced entity. As you will note from the corrected version of the form, the firm Federal Identification Number (FEI) has not changed. Please note this for your records.

Thank you for your assistance with this matter. Please feel free to contact me if you have any additional questions.

Very truly yours,

Daniel Glatter

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