

M02000000627

ETG PROPRIETARY
TRADING, LLC

5

February 15, 2002

Mrs. [REDACTED] Booth
Financial Examiner Analyst II
Department: Finance
Division: Securities
101 E. James Street
Tallahassee, FL 32309-0350

800004992198--6
-02/25/02--01008--001
*****70.00 *****70.00

W02-5430

Re: CRD #103926
File #051317

800004992198--6
-03/08/02--01083--001
*****55.00 *****55.00

Further to our conversation, please find enclosed the necessary documents to register our branch in the State. We have enclosed the following:

Letter of Good Standing
Certification of Designation of Registered Agent
Application by Foreign Limited Liability Company
Check for \$70

I have also enclosed the organization registration status for this BD on CRD. Could you please add a line for the State of Florida showing that we are approved in the State?

Sincerely,

Sarah-Rachel Walters

Sarah-Rachel Walters
Compliance Officer

RECEIVED
CASHIER'S OFFICE
FEB 19 PM 4:22

FILED
02 FEB -8 PM 4:22
SECURITIES
TALLAHASSEE, FLORIDA

mtu
3/8



FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

February 26, 2002

SARAH-RACHEL WALTERS
900 THIRD AVE., STE 200
NEW YORK, NY 10022

SUBJECT: ETG PROPRIETARY TRADING, LLC
Ref. Number: W02000005430

We have received your document for ETG PROPRIETARY TRADING, LLC and check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned to you for the following reason(s):

There is a balance due of \$55.00. Refer to the attached fee schedule for a breakdown of the fees. Please return a copy of this letter to ensure your money is properly credited.

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/uniform business 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) 245-6097.

Michael Mays
Document Specialist

Letter Number: 502A00011690

FILED
FEB -8 PM 2:42
STATE
TALLAHASSEE, FLORIDA

**APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO
TRANSACTION BUSINESS IN FLORIDA**

IN COMPLIANCE WITH SECTION 608.503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN LIMITED LIABILITY COMPANY TO TRANSACTION BUSINESS IN THE STATE OF FLORIDA:

1. ETG PROPRIETARY TRADING, LLC
(Name of foreign limited liability company)
2. DELAWARE 3. 11-3536730
(Jurisdiction under the law of which foreign limited liability company is organized) (FEI number, if applicable)
4. 12/3/1999 5. Perpetual
(Date of Organization) (Duration: Year limited liability company will cease to exist or "perpetual")
6. N/A
(Date first transacted business in Florida. (See sections 608.501, 608.502, and 817.155, F.S.))
7. 900 Third Avenue, Suite 200
New York, NY 10022
(Street address of principal office)

8. If limited liability company is a manager-managed company, check here ☒

9. The name and usual business addresses of the managing members or managers are as follows:


Electronic Trading Group, LLC, 900 Third Avenue, NY, NY 10022

GREGG GIACQUINTO, 900 Third Avenue, NY, NY 10022

10. Attached is an original certificate of existence, no more than 90 days old, duly authenticated by the official having custody of records in the jurisdiction under the law of which it is organized. (A photocopy is not acceptable. If the certificate is in a foreign language, a translation of the certificate under oath of the translator must be submitted.)

11. Nature of business or purposes to be conducted or promoted in Florida: _____

PROPRIETARY TRADING


Signature of a member or an authorized representative of a member.
(In accordance with section 608.408(3), F.S., the execution of this document constitutes an affirmation under the penalties of perjury that the facts stated herein are true.)

KURT HAWKESWORTH

Typed or printed name of signee

FILED
FEB 8 PM 2:42
CLERK OF STATE
TALLAHASSEE, FLORIDA

**CERTIFICATE OF DESIGNATION OF
REGISTERED AGENT/REGISTERED OFFICE**

PURSUANT TO THE PROVISIONS OF SECTION 608.415 or 608.507, FLORIDA STATUTES,
THE UNDERSIGNED LIMITED LIABILITY COMPANY SUBMITS THE FOLLOWING
STATEMENT TO DESIGNATE A REGISTERED OFFICE AND REGISTERED AGENT IN THE
STATE OF FLORIDA.

1. The name of the Limited Liability Company is:

ETG PROPRIETARY TRADING, LLC

2. The name and the Florida street address of the registered agent and office are:

ANDREW GRUBER

(Name)

505 S. FLAGLER DRIVE, SUITE 405

Florida street address (P.O. Box **NOT** ACCEPTABLE)

WEST PALM BEACH

FL

33401

(City/State/Zip)

RECEIVED
COMPTROLLER'S OFFICE

2002 FEB 19 PM 1:56

CASHIER'S OFFICE

02 FEB -8 PM 2:42
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

Having been named as registered agent and to accept service of process for the above stated limited liability company at the place designated in this certificate, 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 relating to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent as provided for in Chapter 608, F.S.

(X)

(Signature)

\$ 100.00	Filing Fee for Application
\$ 25.00	Designation of Registered Agent
\$ 30.00	Certified Copy (optional)
\$ 5.00	Certificate of Status (optional)

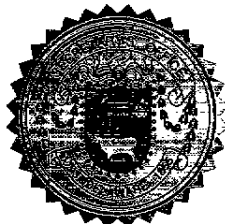
Delaware

PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "ETG PROPRIETARY TRADING, LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE SIXTH DAY OF FEBRUARY, A.D. 2002.

FILED
02 FEB -8 PM 2:42
SECRETARY OF STATE
TALLAHASSEE, FLORIDA



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

3136039 8300

AUTHENTICATION: 1599057

020074384

DATE: 02-06-02