

m06000004082

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐

PICK-UP

☐

WAIT

☐

MAIL

(Business Entity Name)

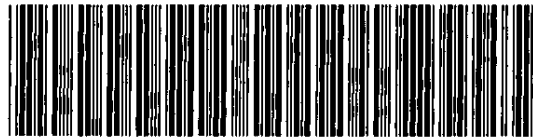
(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

Total fee \$125.00 plus
penalty fees

Office Use Only



500076342935

06/21/06--01048--001 **70.00

07/25/06--01012--002 **3150.00

07/11/06--01015--007 **55.00

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2006 JUL 24 P 1:23

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

m06-28534
(6/23/06)

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Equitas America, LLC
(Name of Limited Liability Company)

The enclosed "Application by Foreign Limited Liability Company for Authorization to Transact Business in Florida," Certificate of Existence, and check are submitted to register the above referenced foreign limited liability company to transact business in Florida..

Please return all correspondence concerning this matter to the following:

Kim Liddell-Watson
(Name of Person)

Equitas America, LLC
(Firm/Company)

38505 Country Club Drive, Ste. 110
(Address)

Farmington Hills, MI 48331
(City/State and Zip Code)

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2006 JUL 24 P 1:23
SECRETARY OF STATE
TALLAHASSEE FLORIDA

For further information concerning this matter, please call:

Kim Liddell-Watson at (248) 848-7500
(Name of Person) (Area Code & Daytime Telephone Number)

MAILING ADDRESS:
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

STREET ADDRESS:
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

Enclosed is a check for the following amount:

☒ \$125.00 Filing Fee ☐ \$130.00 Filing Fee & Certificate of Status ☐ \$155.00 Filing Fee & Certified Copy ☐ \$160.00 Filing Fee, Certificate of Status & Certified Copy

EQUITAS America LLC.

AMERICA'S MEMBERSHIP BROKER/DEALER

June 26, 2006

Doris Brown, Document Specialist
Division of Corporations - Registration Section
Clifton Bldg.
2661 Executive Center Circle
Tallahassee, FL 32301

Re: Equitas America, LLC
Ref. #W06000028534

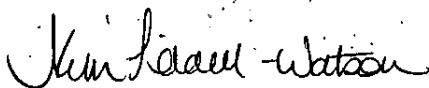
Dear Ms. Brown:

Enclosed please find a copy of the letter you recently sent to us regarding our request to become approved as a foreign entity within the State of Florida. As we discussed today, Equitas is a LLC and we originally submitted the wrong forms to the Division for review. This application was sent along with a check for \$70.00 and a Certificate from our state of incorporation.

We have enclosed updated paperwork and a check for \$55.00 to pay for the remaining licensing fees. The Service of Process form is being mailed directly to you from our agent in Jacksonville. He has been instructed to include a copy of the letter for ease of matching for your records.

We apologize for submitting the wrong forms. Please let me know if you need any additional information. I appreciate your help with this matter.

Very truly yours,



Kim Liddell-Watson
Chief Compliance Officer

Encls.

MEMBER

NASD/SIPC

38505

COUNTRY

CLUB

DRIVE

SUITE

110

FARMINGTON

HILLS

MI

48331

248-848-7500

800-719-9160

fax

248-848-7510

equitasusa.com

EQUITAS America LLC

AMERICA'S MEMBERSHIP BROKER/DEALER

July 17, 2006

Diane Cushing, Document Specialist Supervisor
FL Department of State – Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

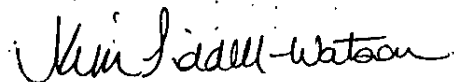
Re: Equitas America, LLC
Ref. #W06000028534

Dear Ms. Cushing:

Pursuant to your letter dated July 6, 2006, enclosed you will find a check in the amount of \$3,150.00, the amount due to cover the fees and penalties for Equitas America to cover both annual report/uniform business report for our office in Jacksonville, FL. I have also enclosed a copy of the letter sent to Equitas, as requested by you in your letter.

I would appreciate it if you would advise if the firm and the branch location have been reviewed and approved for registration within the State of Florida. If you need any additional information, I may be reached at 248-848-7500 or via email at kliddell@equitasusa.com.

Very truly yours,



Kim Liddell-Watson
Chief Compliance Officer

Encls.

MEMBER

NASD/SIPC

38505

COUNTRY

CLUB

DRIVE

SUITE

110

FARMINGTON

HILLS

MI

48331

248-848-7500

800-719-9160

fax

248-848-7510

equitasusa.com



FLORIDA DEPARTMENT OF STATE
Division of Corporations

June 23, 2006

KIM LIDDELL-WATSON
38505 COUNTRY CLUB DRIVE
STE. 110
FRMINGTON HILLS, MI 48331

SUBJECT: EQUITAS AMERICA, LLC
Ref. Number: W06000028534

We have received your document for EQUITAS AMERICA, LLC and your check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

The corporate name must contain a suffix that will clearly indicate that it is a corporation. Such suffixes include: CORPORATION, CORP., COMPANY, CO., INC., and INCORPORATED.

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) 245-6972.

Doris Brown
Document Specialist

Letter Number: 906A00041972



FLORIDA DEPARTMENT OF STATE
Division of Corporations

July 6, 2006

KIM LIDDELL-WATSON
38505 COUNTRY CLUB DRIVE
STE. 110
FARMINGTON HILLS, MI 48331

SUBJECT: EQUITAS AMERICA, LLC
Ref. Number: W06000028534

We have received your document for EQUITAS AMERICA, LLC and your check(s) totaling \$125.00. However, the document has not been filed and is being retained in this office for the following:

Pursuant to section 607.1502(4), 617.1502(4) or 608.502(4), Florida Statutes, this office collects a civil penalty of \$1000 for each year this entity transacted business or conducted its affairs in Florida prior to qualification and the appropriate annual report/uniform business report fees that would have been due this office had the entity qualified the year it began operations in this state. The amount due this office to cover both annual report/uniform business report and penalty fees is \$3,150.00.

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) 245-6913.

Diane Cushing
Document Specialist Supervisor

Letter Number: 006A00043692

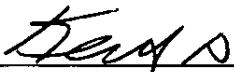
**APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO
TRANSACTION BUSINESS IN FLORIDA**

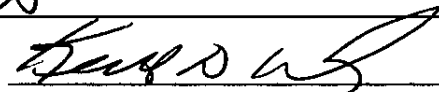
IN COMPLIANCE WITH SECTION 608.503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN LIMITED LIABILITY COMPANY TO TRANSACTION BUSINESS IN THE STATE OF FLORIDA:

1. Equitas America, LLC
(Name of Foreign Limited Liability Company)
2. Delaware
(Jurisdiction under the law of which foreign limited liability company is organized)
3. 38-3258736
(FEI number, if applicable)
4. 10/20/1995
(Date of Organization)
5. Perpetual
(Duration: Year limited liability company will cease to exist or "perpetual")
6. 09/02/2003
(Date first transacted business in Florida, if prior to registration.)
(See sections 608.501 & 608.502 F.S. to determine penalty liability)
7. 38505 Country Club Drive, Ste. 110
Farmington Hills, MI 48331
(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:
Clark Colton, Chairman / Dennis J. Brown, President / Kenneth D. Warnick, CFO/Treasurer
All located at 38505 Country Club Drive, Ste. 110, Farmington Hills, MI 48331

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: Securities broker-dealer





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.)

Kenneth D. Warnick, CFO/Treasurer

Typed or printed name of signee

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SECRETARY 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:

Equitas America, LLC

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

S. William Gassett

(Name)

8833 Perimeter Park Blvd., Ste. 603

Florida Street Address (P.O. Box **NOT** ACCEPTABLE)

Jacksonville

FL 32216-1110

City/State/Zip

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, Florida Statutes.



(Signature)

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

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

2006 JUL 24 P 11:18

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Delaware

PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "EQUITAS AMERICA, L.L.C." 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 NINTH DAY OF JUNE, A.D. 2006.

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2006 JUL 24 P 1:23
SECRETARY OF STATE
TALLAHASSEE, FLORIDA



2554587 8300

060492852

Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 4815404

DATE: 06-09-06