

2011 LIMITED LIABILITY COMPANY ANNUAL REPORT

DOCUMENT# M06000006651

FILED
Apr 27, 2011
Secretary of State

Entity Name: BROKER-DEALER COMPLIANCE ASSOCIATES, L.L.C.

Current Principal Place of Business:

1900 NW CORPORATE BLVD.
SUITE 200W
BOCA RATON, FL 33431

New Principal Place of Business:

Current Mailing Address:

2120 L STREET, SUITE 530
WASHINGTON, DC 20037

New Mailing Address:

FEI Number: 20-5747304

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 323012525 US

Name and Address of New Registered Agent:

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: _____

Electronic Signature of Registered Agent

Date

MANAGING MEMBERS/MANAGERS:

Title: MGRM
Name: SCHWARTZ, BARRY P
Address: 2120 L STREET, SUITE 530
City-St-Zip: WASHINGTON, DC 20037

I hereby certify that the information indicated on this report is true and accurate and that my electronic 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: DANIEL O'CONNOR

COO

04/27/2011

Electronic Signature of Signing Managing Member, Manager, or Authorized Representative / Date