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(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

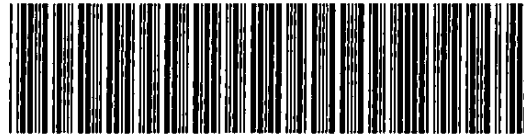
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DIVISION OF CORPORATIONS
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Delivered via overnight mail

June 22, 2007

Gina McLeod, Document Specialist
Florida Department of State
Division of Corporations
2661 Executive Center Circle
Tallahassee, FL 32314

Re: Rockwell Global Capital LLC
Ref Number: W07000028493

Dear Ms. McLeod:

Pursuant to my conversation this afternoon with your office, enclosed please find the necessary documents, including the Certification of Designation of Registered Agent/Office, for our filing as a Foreign LLC.

If there are further steps, I respectfully request receiving your advice as soon as possible. If not, then kindly advise me just as soon as we have received approval.

Thank you for your attention to this matter.

I can be reached at (631) 608-2055 or via email at jnatoli@rockwellglobal.com.

Thank you.

Sincerely,


Joseph Natoli

Rockwell Global Capital, LLC
Chief Compliance Officer

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Rockwell Global Capital 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:

Joseph Natoli
(Name of Person)

Rockwell Global Capital LLC
(Firm/Company)

525 Broadhollow Road, Suite B
(Address)

Melville, NY 11747
(City/State and Zip Code)

For further information concerning this matter, please call:

Joseph Natoli at (631) 608-2055
(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

**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. Rockwell Global Capital LLC
(Name of Foreign Limited Liability Company)

2. New York 3. 20-3993930
(Jurisdiction under the law of which foreign limited liability company is organized) (FEI number, if applicable)

4. 12-22-2005 5. Perpetual
(Date of Organization) (Duration: Year limited liability company will cease to exist or "perpetual")

6. Have Not Transacted Business in Florida to date
(Date first transacted business in Florida, if prior to registration.)
(See sections 608.501 & 608.502 F.S. to determine penalty liability)

7. 525 Broadhollow Road, Suite B
Melville Ny 11747
(Street Address of Principal Office)

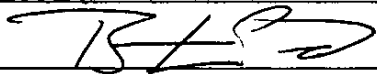
8. If limited liability company is a manager-managed company, check here ☒

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

Bruce Guarino, 525 Broadhollow Road, Suite B, Melville, NY 11747

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: Branch office
of 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.)

Bruce Guarino

Typed or printed name of signee

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**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:

Rockwell Global Capital LLC

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

Daemo Richard Jr.
(Name)

1451 W. Cypress Creek Road, Suite 300
Florida Street Address (P.O. Box **NOT** ACCEPTABLE)

Fort Lauderdale FL 33309
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)

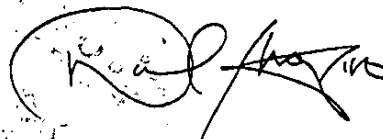
\$ 100.00	Filing Fee for Application
\$ 25.00	Designation of Registered Agent
\$ 30.00	Certified Copy (optional)
\$ 5.00	Certificate of Status (optional)

State of New York
Department of State } ss:

I hereby certify, that ROCKWELL CAPITAL, LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 12/22/2005, and that the Limited Liability Company is existing so far as shown by the records of the Department.

A Certificate of Amendment ROCKWELL CAPITAL, LLC, changing its name to ROCKWELL GLOBAL CAPITAL, LLC, was filed 11/16/2006.

*WITNESS my hand and the official seal
of the Department of State at the City of
Albany, this 24th day of April two
thousand and seven.*



Special Deputy Secretary of State

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