

MD7000007190

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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(Business Entity Name)

(Document Number)

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2007 DEC 12 PM 12:03

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Brean Murray, Carret + Co., 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:

Victor Gatto

(Name of Person)

Brean Murray, Carret + Co., LLC.

(Firm/Company)

570 Lexington Avenue

(Address)

New York, NY 10022

(City/State and Zip Code)

For further information concerning this matter, please call:

Victor Gatto

(Name of Person)

at (212) 702-6627

(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



FLORIDA DEPARTMENT OF STATE
Division of Corporations

October 24, 2007

VICTOR GATTO
570 LEXINGTON AVENUE
NEW YORK, NY 10022

SUBJECT: BREAN MURRAY, CARRET + CO., LLC
Ref. Number: W07000052721

We have received your document for BREAN MURRAY, CARRET + CO., LLC and your check(s) totaling \$125.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

The document must contain the name, title, and business address of each managing member or manager who will manage the foreign limited liability company in the state of Florida. Please insert "MGRM" in the title portion for each managing member and "MGR" in the title portion for each manager.

A certificate of existence or a certificate of good standing, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

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) 245-6967.

Leslie Sellers
Regulatory Specialist II

Letter Number: 107A00062529



FLORIDA DEPARTMENT OF STATE
Division of Corporations

November 16, 2007

VICTOR GATTO
570 LEXINGTON AVENUE
NEW YORK, NY 10022

SUBJECT: BREAN MURRAY, CARRET + CO., LLC
Ref. Number: W07000052721

We have received your document for BREAN MURRAY, CARRET + CO., LLC and your check(s) totaling \$125.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

You failed to make the correction(s) requested in our previous letter.

The document must contain the name, title, and business address of each managing member or manager who will manage the foreign limited liability company in the state of Florida. Please insert "MGRM" in the title portion for each managing member and "MGR" in the title portion for each manager.

A certificate of existence or a certificate of good standing, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

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) 245-6967.

Leslie Sellers
Regulatory Specialist II

Letter Number: 407A00066275

BREAN MURRAY
CARRET & CO.

Brean Murray, Carret & Co.
570 Lexington Avenue
New York, NY 10022-6822
www.breanmurraycarret.com
Tel: 212-702-6500

November 30, 2007

Ms. Leslie Sellers
Regulatory Specialist II
Florida Department of State
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, Florida 32301

RE: Palmetto Bay, Florida
Pending Office
REF: W07000052721

Dear Ms. Sellers:

We are enclosing the additional information that you have requested from us. They are as follows:

- (1). List of Officers;
- (2). Letter of Good Standing;

Should you require any additional information, please contact me at (212 207-2303).

Thank you.

Very truly yours,

Irene Tarnowski

Registration Manager

Encls.

UPS

**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. Brean Murray, Carret + Co., LLC
(Name of Foreign Limited Liability Company; must include "Limited Liability Company," "L.L.C.," or "LLC.")

(If name unavailable, enter alternate name adopted for the purpose of transacting business in Florida and attach a copy of the written consent of the managers or managing members adopting the alternate name. The alternate name must include "Limited Liability Company," "L.L.C.," "LLC.")

2. Delaware 3. 13-4113323
(Jurisdiction under the law of which foreign limited liability company is organized) (FEI number, if applicable)

4. July 11, 1980 5. _____
(Date of Organization) (Duration: Year limited liability company will cease to exist or "perpetual")

6. October 15, 2007
(Date first transacted business in Florida, if prior to registration.)
(See sections 608.501 & 608.502 F.S. to determine penalty liability)

7. 570 Lexington Ave
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:

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: Institutional

Sales

Kenneth J. Kiroch

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 J. Kiroch

Typed or printed name of signee

2007 DEC 12 PM 12:04
TALLAHASSEE, FLORIDA
SECRETARY OF STATE

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BREAN MURRAY
CARRET & CO.

Brean Murray, Carret & Co.
570 Lexington Avenue
New York, NY 10022-6822
www.breanmurraycarret.com
Tel: 212-702-6500

LIST OF MANAGERS

JEROME S. BARON – 570 LEXINGTON AVENUE
NEW YORK, N.Y. 10022

POSITION- MGRM, VICE CHAIRMAN, MANAGING DIRECTOR

VICTOR GATTO – 570 LEXINGTON AVENUE
NEW YORK, N.Y. 10022

POSITION - MGR, COMPLIANCE DIRECTOR

KENNETH J. KIRSCH – 570 LEXINGTON AVENUE
NEW YORK, N.Y. 10022

POSITION - MGRM, CHIEF FINANCIAL OFFICER

WILLIAM MCCLUSKEY- 570 LEXINGTON AVENUE
NEW YORK, N.Y. 10022

POSITION - MGRM, PRESIDENT, CEO

MARCO A. VEGA – 40 WEST 57TH STREET
NEW YORK, N.Y 10019

POSITION – MGR, MGRM, DIRECTOR

FILED
2007 DEC 12 PM 12:04
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:

Brean Murray, Carret + Co., LLC

If name unavailable, the alternate name to be used in the state of Florida is:

Same as above

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

Jason Phussing
Brean Murray, Carret + Co., LLC
(Name)

9341 SW 178th St.

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

Palmetto Bay FL 33157-5746
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.

Jason Phussing
(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

2007 DEC 12 PM 12:04

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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 "BREAN MURRAY, CARRET & CO., 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 TWENTY-EIGHTH DAY OF NOVEMBER, A.D. 2007.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL TAXES HAVE BEEN PAID TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "BREAN MURRAY, CARRET & CO., LLC" WAS FORMED ON THE THIRD DAY OF FEBRUARY, A.D. 2000.

FILED
2007 DEC 12 PM 12:04
SECRETARY OF STATE
TALLAHASSEE, FLORIDA



Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

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AUTHENTICATION: 6191657

DATE: 11-28-07