

2011 LIMITED LIABILITY COMPANY ANNUAL REPORT

DOCUMENT# M09000004409

FILED
Apr 28, 2011
Secretary of State

Entity Name: WELLINGTON SHIELDS & CO., LLC

Current Principal Place of Business:

140 BROADWAY, 44TH FLOOR
NEW YORK, NY 10005

New Principal Place of Business:

Current Mailing Address:

140 BROADWAY, 44TH FLOOR
NEW YORK, NY 10005

New Mailing Address:

FEI Number: 26-3489406

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

VAN CLEVE, KEVIN
% WELLINGTON SHIELDS & CO., LLC
2900 S. TAMiami TRAIL
SARASOTA, FL 34239 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: MGR
Name: WELLINGTON, CHARLES H
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

Title: MGR
Name: SHIELDS, JOSEPH V JR.
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

Title: MGR
Name: SHIELDS, DAVID V
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

Title: MGR
Name: SCARPA, RALPH J
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

Title: MGR
Name: GRANT, THOMAS W
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

Title: MGR
Name: GULDEN, PAUL I JR.
Address: 140 BROADWAY, 44TH FLOOR
City-St-Zip: NEW YORK, NY 10005

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: RALPH SCARPA

MGR

04/28/2011

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