

# Florida Department of State

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## Foreign Limited Liability Company BNY Mellon Capital Markets, LLC

Certificate of Status	0
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B. BOSTICK

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### COVER LETTER

SUBJECT:	BNY Mellon Capital Markets, LL-	c				
GUIGEC1,	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 thi	s matter to the following:				
	Mary Lou Olinski					
		Name of Person				
	BNV Mallon Capital Markets	11.0				
	BNY Mellon Capital Markets, LLC Firm/Company					
	500 Grant Street, Suite 4826 (AIM 151-4826) Address					
	Pittsburgh, PA 15258					
City/State and Zip Code						
	joanna.huber@bnymellon.com					
E-mail address: (to be used for future annual report notification)						
For further in	nformation concerning this matter,	please call:				
Mar	y Lou Olinski	at (412 ) 234-6345				
	Name of Person	Area Code & Daytime Telephone Number				
Div Reg P.O	ision of Corporations gistration Section Box 6327 lahassee, FL 32314	STREET ADDRESS: Division of Corporations Registration Section Clifton Building 2661 Executive Center Circle Tallahassee, FL 32301				
Enclosed is a check for the following amount:  \$\int_{\text{S125.00 Filing Fee}}^{\text{S130.00 Filing Fee}} \text{\$\int_{\text{S130.00 Filing Fee}}^{\text{S155.00 Filing Fee}} \text{\$\int_{\text{S155.00 Filing Fee}}^{\text{S160.00 Filing Fee}} \text{\$\int_{\text{Certificate}}^{\text{S160.00 Filing Fee}} \text{\$\int_{\text{Certificate}}^{\text{S160.00 Filing Fee}} \text{\$\int_{\text{Certificate}}^{\text{S160.00 Filing Fee}} \text{\$\int_{\text{Certificate}}^{\text{Certificate}} \text{\$\int_{\text{Certificate}}^{\text{Certificate}						

P1,037 - 10/05/2010 C T System Online

# APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 608503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN LIMITED LIABILITY COMPANY TO TRANSACT BUSINESS IN THE STATE OF FLORIDA:

(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." "L.C."  2. Delaware  (Our distriction under the law of which foreign limited liability (PEI number, If applicable)  (Date first transacted business in Plorida. If prior to registration.)  (See sections 608.501 & 608.502 F. S. to determine penalty liability)  7. 32 Old Slip, 15th Ploor  New York, New York 10386  (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:  See Attached is an original cartificate of existence, no more than 90 days old, duly authermicated 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 cartificate is in a Dreign language, a managistion of the confincts under each of the translation of the confincts under each of the translation of the confincts under each of the translation runs to submitted)  11. Nature of business or purposes to be conducted or promoted in Florida: Provide Broker-Dealer services  (In secondance with seculptobia, 408(3), F.S. to execution of this document constitutes an allimation under the penalties of perior, but at the first stand fastin internation and foreign language, a managistic of the unfastion and the seculptobia, 408(3), F.S. to execution of this document constitutes an allimation under the penalties of perior, that the first stand fastin internation and first plantage and document to the Department of Stade constitutes a third degree felory as provided for in s.8.17.155, F.S.)  1. John M. Gavin, Ir.  Typed or printed name of signee	1. BNY Mellon Capital Markets, LLC		
consent of the managers or managing members adopting the alternate name. The alternate name must include "Limited Liability Company," "L.L.C." "LL.C." "LL.C.""  Delaware  (Jurisdiction under the law of which foreign limited liability company is organized)  4. 11726/1985  Date of Organization)  (Date of Organization)  (Date first transacted business in Plonda, if prior to registration.)  (See sections 608.50) & 608.502 F.S. to determine penalty liability)  7. 32 Old Siip, 15th Ploor  New York, New York 10286  (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:  See Attached  10. Attached is an original cartificate 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 cartificate is in a foreign language, a marslation of the certificate under cart of the translator must be submitted)  11. Nature of business or purposes to be conducted or promoted in Florida: Provide Broker-Dealer services  Signature of a member of an authorized representative of a member.  (In secondance with seculy 608.408(3), F.y. the secultion of this document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.)  John M. Gavin, Jr.	(Name of Foreign Limited Liability Company; must Inclu	de "Limited Liability Company," "L.L.C.," or "LLC.")	-
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J (,'	document to the Department of State constitutes a	a third degree felony as provided for in s.817.155, F.S.)	
Typed or printed name of signee	John M. Gavin, Jr.		
3R 2	Typed or printed r	name of signee	
		<u>SM</u>	

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#### BNY Melion Capital Markets, LLC

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

Paul F. Casey 32 Old Silp, 15th Floor New York, NY 10283

Stephen P. Ford 500 Grant Street, 4<sup>th</sup> Floor Pittsburgh, PA 15258

John M. Gavin, Jr. 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286

Daniel Klinger 32 Old Stip, 15<sup>th</sup> Floor New York, NY 10286

Harold Skirlis 32 Old Silp, 15<sup>th</sup> Floor New York, NY 10286

Fred S. Yosca 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286 Daniel C, de Menocal 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286

C. Delaney Gardiner 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286

Jaffrey S. Gearhart 500 Grant Street, 4<sup>th</sup> Floor Pittsburgh, PA 15258

Warren J. Share 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286

Gary M. Strumeyer 32 Old Slip, 15<sup>th</sup> Floor New York, NY 10286

SEGMENT OF STREET OF STREET

# 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.

BNY Mellon Capita	Markets, LLC	
if unavailable, the	alternate to be used in the state of Florida is:	
2. The name and	the Florida street address of the registered agen	t and office are:
С	T Corporation System	
	(Name)	
<b></b>	(Name)	
<b></b>	, ,	EPTABLE).
12	:00 South Pine Island Road	EPTABLE).

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.

C. T. Corporation System.

Ву:	Canie Berra	Connie Bryan
	(Signatu <b>)</b>	Assistant Secretary

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

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# Delaware

PAGE :

## The First State

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF

DELAWARE, DO HEREBY CERTIFY "BNY MELLON CAPITAL MARKETS, 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-THIRD DAY OF FEBRUARY, A.D.

2012.

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

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You may varify this contificate online at corp. delaware. upv/authver. shtml

AUTHENTICATION: 9385065

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DATE: 02-23-12