

M1500009079

Florida Department of State
Division of Corporations
Electronic Filing Cover Sheet

Note: Please print this page and use it as a cover sheet. Type the fax audit number (shown below) on the top and bottom of all pages of the document.

((H15000270408 3)))



H150002704083ABC.

Note: DO NOT hit the REFRESH/RELOAD button on your browser from this page. Doing so will generate another cover sheet.

To: Division of Corporations
Fax Number : (850) 617-6383

From: Account Name : C T CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (850) 205-8842
Fax Number : (850) 878-5368

****Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.****

Email Address: _____

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

2015 NOV 12 AM 9:28

FILED

Foreign Limited Liability Company
CITIGROUP GLOBAL MARKETS OPERATIONS AND TECHNOLOGY L

Certificate of Status	0
Certified Copy	0
Page Count	04
Estimated Charge	\$125.00

RECEIVED

15 NOV 12 AM 11:42

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

Electronic Filing Menu

Corporate Filing Menu

Help

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

*IN COMPLIANCE WITH SECTION 605.0902, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN LIMITED LIABILITY
COMPANY TO TRANSACT BUSINESS IN THE STATE OF FLORIDA:*

1. Citigroup Global Markets Operations and Technology, 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. The alternate name must include "Limited
Liability Company," "L.L.C.," or "LLC.")

2. Delaware

(Jurisdiction under the law of which foreign limited liability
company is organized)

3. 465358683

(FEI number, if applicable)

4. Upon Qualification

(Date first transacted business in Florida, if prior to registration.)
(See sections 605.0904 & 605.0905, F.S. to determine penalty liability)

5. 388 Greenwich St, New York, NY 10013

(Street Address of Principal Office)

6. 195 Pomander Rd., Mincola, NY 11501

(Mailing Address)

7. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: CT Corporation System

Office Address: 1200 South Pine Island Road

Plantation, Florida 33324

(City)

(Zip code)

Registered agent's acceptance:

*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 application, 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 relative to the proper and complete performance of my duties, and I am familiar with and
accept the obligations of my position as registered agent.*

By: Debbie Diaz

CT Corporation System

(Registered agent's signature)

Debbie Diaz
Assistant Secretary

8. The name, title or capacity and address of the person(s) who has/have authority to manage is/are:

See attached

9. Attached is a 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. (If the certificate is in a foreign language, a translation of the certificate under oath
of the translator must be submitted)

Theresa Russell

Signature of an authorized person

This document is executed in accordance with section 605.0203 (1) (b), Florida Statutes. I am aware that any false information
submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

Theresa Russell

Typed or printed name of signee

11/12/2015 11:28:27 AM From: To: 8506176383(3/4)

Citigroup Global Markets Operations & Technology, LLC

Name	Title	Address
John D'Onofrio	Director/SVP	388 Greenwich St. NY NY 10013
Richard Greenbaum	Director/SVP	388 Greenwich St. NY NY 10013
Jennifer Kleinert	Director/SVP	388 Greenwich St. NY NY 10013
Jagdish Rao	Director/SVP	388 Greenwich St. NY NY 10013
Santo Trombetta	Director/SVP	388 Greenwich St. NY NY 10013
Vince Nerlino	Vice President	388 Greenwich St. NY NY 10013
Reginald Chen	Vice President	388 Greenwich St. NY NY 10013
Edward Niehoff	Vice President	One Court Sq. Long Island City, NY 11120
Simone Serrao	Vice President	One Court Sq. Long Island City, NY 11120
Theresa Russell	Vice President	195 Pomander Rd. Mineola, NY 11501
Patricia Foster	Vice President	388 Greenwich St. NY NY 10013

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF
DELAWARE, DO HEREBY CERTIFY "CITIGROUP GLOBAL MARKETS OPERATIONS
AND TECHNOLOGY 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 SIXTH DAY OF
NOVEMBER, A.D. 2015.

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



5505863 8300

SR# 20150821284

You may verify this certificate online at corp.delaware.gov/authver.shtml

A handwritten signature in black ink, appearing to read "JBULLOCK", is written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed.

Jeffrey W. Bullock, Secretary of State

Authentication: 10381385

Date: 11-06-15