

M16000003269

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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(Business Entity Name)

(Document Number)

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Special Instructions to Filing Officer:

Cuo W16-26251

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2016 APR 19 AM 10:18
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

K. S. ILY
EXAMINER
APR 21



FLORIDA DEPARTMENT OF STATE
Division of Corporations

April 8, 2016

TIM BOYKIN
WEALTHFORGE HOLDINGS, INC.
6800 PARAGON PLACE
RICHMOND, VA 23230

SUBJECT: WEALTHFORGE SECURITIES, LLC
Ref. Number: W16000026251

We have received your document for WEALTHFORGE SECURITIES, LLC and your check(s) totaling \$155.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

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) 245-6051.

Karen A Saly
Regulatory Specialist II

Letter Number: 616A00007241

WEALTHFORGE

April 15, 2016

VIA CERTIFIED MAIL
Florida Department of State
Division of Corporations
Registration Section
P.O. Box 6327
Tallahassee, Florida 32317

REC-11
2016 APR 19 PM 12:38
TALLAHASSEE, FLORIDA

Re: Certificate of Fact to Complete Application by Foreign Limited Liability Company for Authorization to Transact Business in Florida for WealthForge Securities, LLC (EIN No. 27-0687863)

Dear Sir or Madam:

I represent WealthForge Holdings, Inc., a Delaware corporation, and its subsidiaries. WealthForge Holdings, Inc.'s subsidiaries include WealthForge Securities, LLC, a Virginia limited liability company.

I request you to

- 1) effectuate the registration of WealthForge Securities, LLC to do business in Florida as a foreign limited liability company, and
- 2) return a Certified Copy to the following address:

WealthForge Holdings, Inc.
Attn: Tim Boykin
6800 Paragon Place
Suite 237
Richmond, Virginia 23230

To that end, I have enclosed

- 1) the Certificate of Fact for WealthForge Securities, LLC, and
- 2) a copy of your April 8, 2016 letter (Letter No. 616A00007241), as requested.

Thank you for your help and attention with this matter. Please do not hesitate to call me at (804) 308-0431, x105 if you have any questions or concerns.

Sincerely,



Tim Boykin
Corporate Counsel

Enclosures

COVER LETTER

**TO: Registration Section
Division of Corporations**

SUBJECT: WealthForge Securities, 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:

Tim Boykin, Corporate Counsel

Name of Person

WealthForge Holdings, Inc.

Firm/Company

6800 Paragon Place, Suite 237

Address

Richmond, Virginia 23230

City/State and Zip Code

tboykin@wealthforge.com

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Tim Boykin, Corporate Counsel

804

308-0431, x105

at ()

Name of Contact Person

Area Code

Daytime Telephone Number

MAILING ADDRESS:

Division of Corporations
Registration Section
P.O. Box 6327
Tallahassee, 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:

☐ \$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 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. WealthForge Securities, 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. Commonwealth of Virginia

3. 27-0687863

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

(FEI number, if applicable)

4. January 12, 2015

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

5. 6800 Paragon Place, Suite 200

Richmond, Virginia 23230

(Street Address of Principal Office)

6. 6800 Paragon Place, Suite 200

Richmond, Virginia 23230

(Mailing Address)

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

Name: Incorp Services, Inc.

Office Address: 17888 67th Court North

Loxahatchee

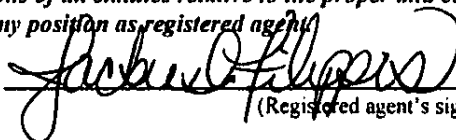
(City)

, Florida 33470

(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.



Jackie DeFilippis on behalf of Incorp Services, Inc.

(Registered agent's signature)

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

Fred Bryant, Manager

6800 Paragon Place, Suite 200

Richmond, Virginia 23230

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)



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.

Fred Bryant

Typed or printed name of signee

FILED
2016 APR 19 AM 10:18
STATE DEPT OF STATE
TALLAHASSEE, FLORIDA

Commonwealth of Virginia



State Corporation Commission

CERTIFICATE OF FACT

I Certify the Following from the Records of the Commission:

That WealthForge Securities, LLC is duly organized as a limited liability company under the law of the Commonwealth of Virginia;

That the date of its organization is July 28, 2009; and

That the limited liability company is in existence in the Commonwealth of Virginia as of the date set forth below.

Nothing more is hereby certified.

FILED
2016 APR 19 AM 10:18
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

*Signed and Sealed at Richmond on this Date:
April 15, 2016*



Joel H. Peck
Joel H. Peck, Clerk of the Commission