

M17000003212

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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(Business Entity Name)

(Document Number)

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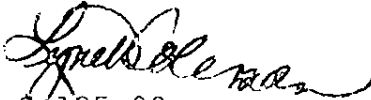
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2017 APR 13 AM 10:10  
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TALLAHASSEE, FLORIDA

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TALLAHASSEE, FLORIDA

S Warren

APR 14 2017

CORPORATION SERVICE COMPANY  
1201 Hays Street  
Tallahassee, FL 32301  
Phone: 850-558-1500

ACCOUNT NO. : I20000000195  
REFERENCE : 592526 7323654  
AUTHORIZATION :   
COST LIMIT : \$ 125.00

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ORDER DATE : April 10, 2017  
ORDER TIME : 3:30 PM  
ORDER NO. : 592526-005  
CUSTOMER NO: 7323654  
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FOREIGN FILINGS

NAME: GFI SECURITIES LLC

XXXX QUALIFICATION (TYPE: LL)

PLEASE RETURN THE FOLLOWING AS PROOF OF FILING:

\_\_\_\_\_ CERTIFIED COPY  
XX \_\_\_\_\_ PLAIN STAMPED COPY  
\_\_\_\_\_ CERTIFICATE OF GOOD STANDING

CONTACT PERSON: Melissa Zender -- EXT# 62956

EXAMINER: \_\_\_\_\_

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. GFI Securities LLC  
(Name of Foreign Limited Liability Company; must include "Limited Liability Company," "L.L.C.," or "LLC.")

N/A

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

3. 13-3958207  
(FEI number, if applicable)

4. 02/23/17  
(Date first transacted business in Florida, if prior to registration.)  
(See sections 605.0904 & 605.0905, F.S. to determine penalty liability)

5. 55 Water Street, 10th Floor, New York, NY 10041  
(Street Address of Principal Office)

6. c/o Legal Department, 110 East 59th Street, 7th Floor, New York, NY 10022  
(Mailing Address)


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

Name: Corporation Service Company  
Office Address: 1201 Hays Street  
Tallahassee, Florida 32301  
(City) (Zip code)

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TALLAHASSEE, FLORIDA  
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Registered agent's acceptance:

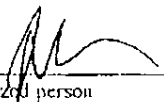
Having been named as registered agent and to accept service of process for the above stated limited liability company at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all 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:   
(Registered agent's signature) Melissa Zender  
Asst. Vice President

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

See attached Exhibit A

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.

Stephen M. Merkel  
Typed or printed name of signee

# GFI SECURITIES LLC

## EXHIBIT A

### OFFICERS

Colin Heffron	Chief Executive Officer of GFI Brand	55 Water Street, New York, NY 10041
Prash Naik	Chief Operating Officer	55 Water Street, New York, NY 10041
Steve Bisgay	Chief Financial Officer	499 Park Avenue, New York, NY 10022
Stephen M. Merkel	Executive Vice President, General Counsel and Secretary	499 Park Avenue, New York, NY 10022
William Shields	Chief Compliance Officer	55 Water Street, New York, NY 10041
Richard Giles	Principal	55 Water Street, New York, NY 10041
Harry Waizer	Vice President, Tax Counsel and Assistant Secretary	499 Park Avenue, New York, NY 10022
Caroline Koster	Senior Vice President, Chief Counsel, Securities and Corporate Governance	110 E 59 <sup>th</sup> Street, New York, NY 10022

SECRETARY OF STATE  
CORPORATION DIVISION  
FLORIDA

FILED

**State of New York**  
**Department of State** } **ss:**

*I hereby certify, that GFI SECURITIES LLC a NEW YORK Limited Liability Company filed Articles of Organization pursuant to the Limited Liability Company Law on 07/09/1997, and that the Limited Liability Company is existing so far as shown by the records of the Department.*



\*\*\*

*Witness my hand and the official seal  
of the Department of State at the City  
of Albany, this 10th day of April  
two thousand and seventeen.*

A handwritten signature in black ink, appearing to read "Brendan W. Fitzgerald", is written over a horizontal dashed line.

Brendan W. Fitzgerald  
Executive Deputy Secretary of State