

MI70000006806

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

(Document Number)

Certified Copies \_\_\_\_\_ Certificates of Status \_\_\_\_\_

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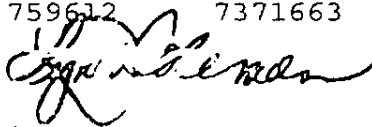
FILED  
17 AUG -9 AM 11:49  
TALLAHASSEE, FLORIDA

2017 AUG -9 AM 10:41  
FILED

AUG 10 2017

Y SULKER

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

ACCOUNT NO. : I20000000195  
REFERENCE : 759612 7371663  
AUTHORIZATION :   
COST LIMIT : \$ 125.00

-----  
ORDER DATE : August 8, 2017

ORDER TIME : 9:52 AM

ORDER NO. : 759612-005

CUSTOMER NO: 7371663  
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FOREIGN FILINGS

NAME: TD PRIME SERVICES 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: \_\_\_\_\_

COVER LETTER

TO: Registration Section  
Division of Corporations

SUBJECT: TD Prime Services 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:

Suzanne Franco

\_\_\_\_\_  
Name of Person

TD Prime Services LLC

\_\_\_\_\_  
Firm/Company

31 West 52nd Street

\_\_\_\_\_  
Address

New York, NY 10019

\_\_\_\_\_  
City/State and Zip Code

suzanne.franco@tdsecurities.com

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

For further information concerning this matter, please call:

Suzanne Franco

212

827-7000

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. TD Prime Services LLC  
(Name of Foreign Limited Liability Company; must include "Limited Liability Company," "LLC," or "L.L.C.")

(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. \_\_\_\_\_  
(FEI number, if applicable)

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

5. 31 West 52nd Street  
(Street Address of Principal Office)  
New York, NY 10019

6. 31 West 52nd Street  
(Mailing Address)  
New York, NY 10019

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)

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.

Corporation Service Company  
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:

<u>Title or Capacity:</u>	<u>Name and Address:</u>	<u>Title or Capacity:</u>	<u>Name and Address:</u>
See attached	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Use attachments if necessary)

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)

10. 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.

Suzanne Franco  
Signature of an authorized person

Suzanne Franco

Typed or printed name of signer

TD Prime Services LLC

Officer as of 3/31/2017

Unless otherwise indicated, all officers are located at 31 West 52<sup>nd</sup> Street, New York, NY 10019

Glenn Gibson	Chief Executive Officer
Paul Beltrame	Chief Operating Officer
Christina Petrou	Chief Compliance Officer
Richard Rosenthal	Chief Financial Officer
Elizabeth Ferando	Chief Legal Officer & Managing Director, Legal
Wayne Schletter	Chief Information Officer
Evan Kimmel	Managing Director, Trading Business Management
David Santina	Managing Director, Business Leader, Prime Services
Vincent Avena	Managing Director, Sales & Trading
Antonios Katsingris	Managing Director, Sales & Trading
Gerard Losurdo	Managing Director, Sales & Trading
Carl Lang	Managing Director, Technology Solutions
Robert Franciscus	Managing Director, Global Counterparty Credit
Anthony Principato	Head of Operations
Rick Oldenburg	Head of Audit
Khana Foo	Head of AML
Annette Barone	Vice President, Sales & Trading
Christopher Cornette	Vice President, Sales & Trading
Paul Stegmann	Vice President, Sales & Trading
Ralph Tenebruso	Vice President, Sales & Trading
Stephan Tran	Vice President, Sales & Trading
Joseph Vencil	Vice President, Sales & Trading
Anthony Vitale	Vice President, Sales & Trading
Kim Barone	Vice President, Sales & Trading
James Young	Vice President, Sales & Trading
Burton Carbino III	Vice President, Sales & Trading
Claire Brown	Vice President, Compliance
James Tuan	Vice President, Technology Solutions
Suzanne Franco	Secretary
Jeffrey Sundram	Director, Compliance
Thomas Alburtus	Director, Finance
Salvatore Cangialosi	Director, Sales & Trading
Constantine Kartsonas	Director, Sales & Trading
Michael Pierson	Director, Legal

Lisa Hannon *	Assistant Secretary
Jennifer Gascho *	Assistant Secretary
Britta Knapp *	Assistant Secretary
Catrin Solis *	Assistant Secretary
Michael Brown *	Assistant Secretary
Danny Salinas *	Assistant Secretary

\*Officers are located at 1345 Avenue of the Americas, New York, NY 10019

FILED  
17 AUG -9 AM 11:49  
U.S. DEPT. OF JUSTICE  
FBI - MIAMI

# Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "TD PRIME SERVICES 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 EIGHTH DAY OF AUGUST, A.D. 2017.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "TD PRIME SERVICES LLC" WAS FORMED ON THE FIFTH DAY OF MAY, A.D. 2017.

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



6401077 8300

SR# 20175633078

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

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

Authentication: 203024123

Date: 08-08-17

**COVER LETTER**

**TO: Registration Section  
Division of Corporations**

**SUBJECT:** TD Prime Services LLC  
Name of Limited Liability Company

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Suzanne Franco  
Name of Person

TD Prime Services LLC  
Firm/Company

31 West 52nd Street  
Address

New York, NY 10019  
City/State and Zip Code

suzanne.franco@tdsecurities.com  
E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Suzanne Franco at ( 212 ) 827-7000  
Name of Contact Person Area Code Daytime Telephone Number

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Division of Corporations  
Registration Section  
P.O. Box 6327  
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Tallahassee, FL 32301

Enclosed is a check for the following amount:

- |  |   |  |   |
|--|---|--|---|
| <input type="checkbox"/> \$125.00 Filing Fee | <input type="checkbox"/> \$130.00 Filing Fee &<br>Certificate of Status | <input type="checkbox"/> \$155.00 Filing Fee &<br>Certified Copy | <input type="checkbox"/> \$160.00 Filing Fee, Certificate<br>of Status & Certified Copy |
|--|---|--|---|