

M18000009975

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

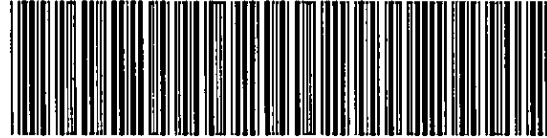
(Document Number)

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COVER LETTER

**TO: Registration Section
Division of Corporations**

SUBJECT: First Brokers 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:

Philip J. Salvia, Chief Operating Officer

Name of Person

First Brokers Securities LLC

Firm/Company

Harborside 5, 185 Hudson Street, Suite 1500

Address

Jersey City, NJ 07311-4011

City/State and Zip Code

Robert.Dower@firstbrokers.com

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

For further information concerning this matter, please call:

Robert H. Dower

212

513-4443

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. First Brokers 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. Delaware

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

3. 32-0104062

(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. Harborside 5

(Street Address of Principal Office)

185 Hudson Street, Suite 1500

Jersey City, NJ 07311-4011

6. Same As Street Address of

(Mailing Address)

Principal Office

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

Name: CT Corporation

Office Address: 1200 South Pine Island Road

Plantation

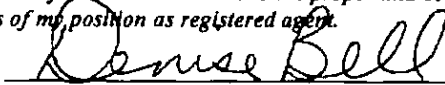
(City)

, Florida 33324

(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.


(Registered agent's signature)

Denise Bell, Asst Secretary

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

Title or Capacity:

Name and Address:

Title or Capacity:

Name and Address:

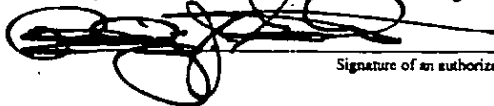
Please see

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.



Signature of an authorized person

Philip J. Salvia, COO/CCO

Typed or printed name of signer

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Attachment to:

**Application By Foreign Limited Liability Company For Authorization To Transact
Business In Florida**

First Brokers Securities LLC (32-0104062)

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

	Title or Capacity	Name and Address		Title or Capacity	Name and Address
1.	Officer/Director (CEO)	Andrew J. O'Keefe First Brokers Securities LLC Harborside 5 185 Hudson Street, Suite 1500 Jersey City, NJ 07311-4011	4.	Director/ Board Member	Greg Murphy First Brokers Securities LLC Harborside 5 185 Hudson Street, Suite 1500 Jersey City, NJ 07311-4011
2.	Officer/Director (COO/CCO)	Philip J. Salvia First Brokers Securities LLC Harborside 5 185 Hudson Street, Suite 1500 Jersey City, NJ 07311-4011	5.	Director/ Board Member	Mary Maguire First Brokers Securities LLC Harborside 5 185 Hudson Street, Suite 1500 Jersey City, NJ 07311-4011
3.	Officer/Director (CFO)	Robert H. Dower First Brokers Securities LLC Harborside 5 185 Hudson Street, Suite 1500 Jersey City, NJ 07311-4011	6.	Office Manager	Justin Palmer 503 Xanadu Place Jupiter, FL 33477

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF
DELAWARE, DO HEREBY CERTIFY "FIRST BROKERS SECURITIES 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 TWELFTH DAY OF OCTOBER, A.D. 2018.



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SR# 20186991258

You may verify this certificate online at 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.

Jeffrey W. Bullock, Secretary of State

Authentication: 203601642

Date: 10-12-18