

M220000000366

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

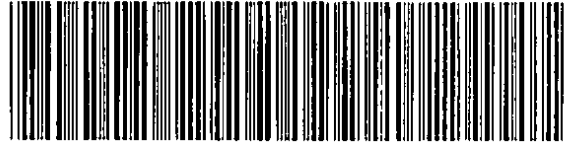
(Document Number)

Certified Copies _____ Certificates of Status _____

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SEC. OF STATE
TALLAHASSEE, FLORIDA

RECORDED

2021 DEC 22 PM 3:46

TALLAHASSEE, FLORIDA

JAN -7 2022

M. SOLOMON

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

ACCOUNT NO. : I20000000195

REFERENCE : 346856 8047013

AUTHORIZATION :

COST LIMIT : \$125.00

ORDER DATE : December 22, 2021

ORDER TIME : 2:41 PM

ORDER NO. : 346856-005

CUSTOMER NO: 8047013

FOREIGN FILINGS

NAME: RBA CMA 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: Eyliena Baker -- EXT#

EXAMINER: _____

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: RBC CMA 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:

Samantha Lefchuck

Name of Person

Royal Bank of Canada

Firm/Company

30 Hudson 28th floor

Address

Jersey City NJ

City/State and Zip Code

samantha.lefchuck@rbc.com

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

For further information concerning this matter, please call:

Samantha Lefchuck

551

2255785

Name of Contact Person

at ()

Area Code

Daytime Telephone Number

Mailing Address:

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Street Address:

Registration Section
Division of Corporations
The Centre of Tallahassee
2415 N. Monroe Street, Suite 810
Tallahassee, FL 32303

Enclosed is a check for the following amount:

Please make check payable to: **FLORIDA DEPARTMENT OF STATE**

☐ \$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

RECEIVED
FLORIDA DEPARTMENT OF STATE
TALLAHASSEE, FL 32303

2021 DEC 22 AM 9:43

FILED

**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. RBC CMA 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. Bahamas 3. _____
(Jurisdiction under the law of which foreign limited liability company is organized) (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. 200 Vesey St
(Street Address of Principal Office)

6. 101 East Hill St.
(Mailing Address)

New York, NY 10028

Royal Bank House 3rd floor

Nassau, Bahamas

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: Eylima Bahor
Assistant Vice President
(Registered agent's signature)

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

2021 DEC 22 AM 9:43

8. For initial indexing purposes, list names, title or capacity and addresses of the primary members/managers or persons authorized to manage [up to six (6) total]:

Title or Capacity: **Name and Address:**

☐ Manager Name: Lawrence Cohen

☐ Member Address: 200 Vesey St

☒ Authorized New York, NY 10028

Person _____

☐ Other _____ ☐ Other _____

☐ Manager Name: Tom Manning

☐ Member Address: 200 Vesey St

☒ Authorized New York, NY 10028

Person _____

☐ Other _____ ☐ Other _____

☐ Manager Name: Shevette Seymour

☐ Member Address: 101 East Hill St.

☒ Authorized Royal Bank House

Person Nassau Bahamas

☐ Other _____ ☐ Other _____

Title or Capacity: **Name and Address:**

☐ Manager Name: Paul Carlesimo

☐ Member Address: 200 Vesey St

☒ Authorized New York, NY 10028

Person _____

☐ Other _____ ☐ Other _____

☐ Manager Name: Lidia Podyma

☐ Member Address: 200 Vesey St

☒ Authorized New York, NY 10028

Person _____

☐ Other _____ ☐ Other _____

☐ Manager Name: Esther Louis

☐ Member Address: 30 Hudson St

☒ Authorized _____

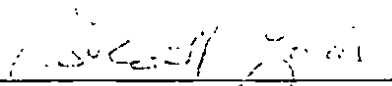
Person Jersey City NJ 07302

☐ Other _____ ☐ Other _____

Important Notice: Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals may be added to the index when filing your Florida Department of State Annual Report form.

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.

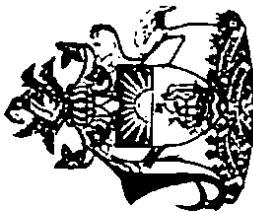


Signature of an authorized person

Esther Louis

Typed or printed name of signer

FILED
2021 DEC 22 AM 9:43
CLERK OF STATE
TALLAHASSEE, FLORIDA



COMMONWEALTH OF THE BAHAMAS
THE INTERNATIONAL BUSINESS COMPANIES ACT 2000
(No. 45 of 2000)

IBC

08

CERTIFICATE OF GOOD STANDING

(Section 190)

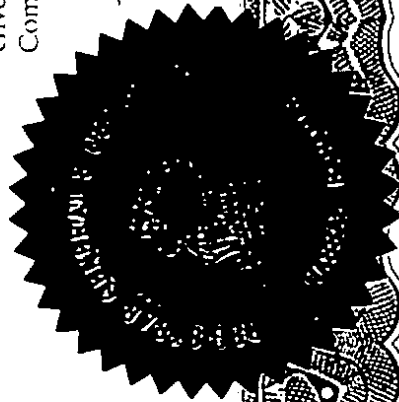
No. 177161 B RBC CMA LLC *

I, **ELLICE SALLYANN LOCKHART-PRATT**, Registrar General of the Commonwealth of The Bahamas, DO
HEREBY CERTIFY:

1. The above Company was duly continued under the provisions of the International Business Companies Act 2000, (No. 45 of 2000) on the **28th day of October, 2019** as Company No. **177161** on the Register of International Business Companies.
2. The name of the Company is still on the Register of International Business Companies and the Company has paid all fees, licence fees and penalties due and payable under the provisions of Sections 176 and 177 of the said Act.
3. The Company has not submitted to me Articles of Merger or Consolidation that have not yet become effective.
4. The Company has not submitted to me Articles of Arrangement that has not yet become effective.
5. The Company is not in the process of being wound up and dissolved.
6. No proceedings have been instituted to strike the name of the Company off the said Register.
7. In so far as is evidenced by the documents filed with this Office, the Company is in good legal standing.

***Formerly: RBC Capital Markets Arbitrage
S.A.**

Given under my hand and seal at Nassau in the
Commonwealth of The Bahamas this **27th day of October, 2021**



Ellice Sallyann Lockhart-Pratt

Registrar General



FLORIDA DEPARTMENT OF STATE
Division of Corporations

December 27, 2021

CSC

SUBJECT: RBC CMA LLC
Ref. Number: W21000161360

RESUBMIT
Please give original
submission date as file date.

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

We cannot accept a photocopy of the certificate of good standing.,

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.

KYLE D BRUMBLEY
Regulatory Specialist II Supervisor

Letter Number: 921A00031094

REC'D
2022 JAN-6 AM 11:43
TALLAHASSEE, FLORIDA