

File on or before May 1, 1998 or Limited Liability Company will be subject to a \$ 400.00 LATE FEE.

LIMITED LIABILITY COMPANY
ANNUAL REPORT
1998



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS

98 MAY 18 PM 4:16

FILING FEE Annual Report \$100.00 + \$88.75 Corporation Supplemental Fee
\$ 188.75 Make Check Payable To: FLORIDA DEPARTMENT OF STATE

1. Name and Mailing Address of Limited Liability Company **DOCUMENT # M97000000155**

GRUNTAL FINANCIAL, L.L.C. d/b/a
GRUNTAL & CO., L.L.C.
14 WALL STREET
NEW YORK NY 10005

1a. Principal Place of Business Address

14 WALL STREET
NEW YORK NY 10005

2. Principal Place of Business

14 Wall Street

Suite, Apt. #, etc.

15th FL Accq Dept

City & State

New York NY

Zip

10005

Country

USA

2a. Mailing Address

Same

Suite, Apt. #, etc.

City & State

Zip

Country

3. Date Organized or Qualified

03/27/1997

3a. State of Formation

DE

4. FEI Number

13-3933850

☐ Applied For

☐ Not Applicable

5. Date of Last Report

N/A

6. Certificate of Status Desired

☐ \$8.75 Additional Fee Required

7. Name and Address of Current Registered Agent

C T CORPORATION SYSTEM
1200 SOUTH PINE ISLAND ROAD
PLANTATION FL 33324

8. Name and Address of New Registered Agent/Office

Name

Street Address (P.O. Box Number is Not Acceptable)

Suite, Apt. #, etc.

City

000002530860--2

-05/20/98--01113--020

****188.75 ****188.75

Zip Code

FL

9. Pursuant to the provisions of Sections 608.416 and 608.508, Florida Statutes, the above-named limited liability company submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by affirmative vote of a majority of the members. I hereby accept the appointment as registered agent, and accept the obligations.

SIGNATURE

DATE

(Registered Agent Accepting Appointment) (NOTE: Registered Agent signature required when reinstating)

10. Title

Managing Members/Managers

Business Street Address

City, State and Zip Code

MGR RITTEREISER, ROBERT P

14 WALL STREET

NEW YORK NY 10005

MGR FENSTERSTOCK, LEE

14 WALL STREET

NEW YORK NY

MGR Battipaglia, Joseph V.

MGR Bradley, Ralph H.

MGR Byers, Stephen R.

MGR Cirrito, John

MGR Feeney, John

MGR Gottmann, Henryb.

MGR Marren, Jannet.

MGR Cuccia, Gary

MGR Richer, Barry

See attached.

11. I do hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3) (i), Florida Statutes. I further certify that the information indicated on this annual report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes; and that my name appears in Block 10, or on an attachment with an address.

SIGNATURE:

SIGNATURE AND TITLE OR PRINTED NAME OF SIGNING MANAGING MEMBER OR MANAGER

Date

Daytime Phone #

Gruntal & Co., L.L.C.

Robert P. Rittereiser*	Chairman of the Executive Committee and CEO
Lee Fensterstock*	President and COO
Joseph V. Battipaglia*	EVP
Ralph H. Bradley, Jr.*	EVP
Stephen R. Byers*	EVP and CFO
John Cirrito*	EVP and Assistant Secretary
John Feeney*	President and CEO of The GMS Group, L.L.C.
Henry D. Gottmann*	EVP
Joanne T. Marren*	EVP, General Counsel and Secretary
Barry Richter*	Vice Chairman Emeritus
John Collins	SVP
Gary Cuoccia	SVP and Controller
Joseph Duhamel	SVP
Charles W. Gerber	SVP
Walter Lamb	SVP
John Pellegrino	SVP and Director of Compliance
David R. Rappaport	SVP
Ralph A. Sorrentino	SVP
Robert E. Wallace	SVP
Allen Brautigam	SVP and Regional Manager
Rosemary Johnson	SVP and Chief Administrative Officer, Investment Management
Robert Krackow	SVP and Regional Manager
Richard Schwarzkopf	SVP and Regional Manager
Jeffrey Berman	Managing Director
Leo Abbe	Managing Director
Richard Abbe	Managing Director
Jeffrey H. Kugler	VP
Richard Chalfin	VP
Robert Hennessey	VP
Linda Malerba	VP
George Mandl	VP
Tania Raiche	Assistant Secretary

Outside Directors

Stephen A. Greyser*
Michael D. Madden*

*Director

3/30/98