

# 2000 UNIFORM BUSINESS REPORT (UBR)

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DOCUMENT # **MA7000000/85**

1. Entity Name  
**ROSENTHAL COLLINS SECURITIES, L.L.C.**

FILED  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS

00 MAR 21 AM 11:00

Principal Place of Business Mailing Address  
**216 W. JACKSON BLVD. SUITE 300A  
CHICAGO, IL 60606**

2. Principal Place of Business

3. Mailing Address

**SAME**

**SAME**

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

**36-4106612**

Applied For

☒ Not Applicable

5. Certificate of Status Desired ☐

**\$5.00** Additional Fee Required

DO NOT WRITE IN THIS SPACE

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

**RALPH VON LUTZOW  
1100 SOUTH TAMiami TRAIL  
#305B  
SARASOTA, FL 34236**

Name

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

City

**FL**

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

**3-17-00**

**FILE NOW!!! FEE IS \$50.00**

**Make Check Payable to Department of State**

9. MANAGING MEMBERS/MEMBERS

10.

ADDITIONS/CHANGES

TITLE **MEMBER** ☐ Delete  
NAME **ROSENTHAL COLLINS HOLDINGS, LLC.**  
STREET ADDRESS **216 W. JACKSON BLVD., 4th FLOOR**  
CITY-ST-ZIP **CHICAGO, IL 60606**

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition  
**99 FF \$188.75**  
**00 FF 50.00**

TITLE **MANAGER** ☐ Delete  
NAME **THOMAS WALL**  
STREET ADDRESS **216 W. JACKSON BLVD. SUITE 300A**  
CITY-ST-ZIP **CHICAGO, IL 60606**

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition  
**WELL 3/20**

TITLE **MANAGER** ☐ Delete  
NAME **RICHARD VOGEL**  
STREET ADDRESS **216 W. JACKSON BLVD. SUITE 300A**  
CITY-ST-ZIP **CHICAGO, IL 60606**

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition  
**900003183619--1**  
**-03/24/00--01098--012**  
**\*\*\*\*238.75 \*\*\*\*238.75**

TITLE ☐ Delete  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE ☐ Delete  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE ☐ Delete  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

TITLE  
NAME  
STREET ADDRESS  
CITY-ST-ZIP

☐ Change ☐ Addition

11. I 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 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.

SIGNATURE: **THOMAS J. WALL-PRESIDENT**

**THOMAS J. WALL-PRESIDENT**

Date

Daytime Phone #

**2/15/2000 (312)795-7602**

CR2E083 (11/99)

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**MULDOON & FLYNN, P.C.**

**Attorneys At Law**  
**216 West Jackson Blvd., Suite 300**  
**Chicago, Illinois 60606**

**(312) 795-7764**  
**Fax (312) 795-7756**

**John J. Muldoon, III**  
**(Also Member of N.Y. Bar)**

**James M. Flynn**

October 28, 1999

Florida Department of State  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

Re: Rosenthal Collins Securities, L.L.C. (Firm CRD# 41915)  
Florida L.L.C. Number M97000000185

To Whom it May Concern:

Our firm represents Rosenthal Collins Securities, L.L.C. ("RCS"), and this letter is in response to a notice of administrative revocation by your office against the above broker-dealer. In July, 1999, RCS forwarded a notice of delinquency in the filing of the Florida Annual Report for 1999. In reviewing the file in this matter, we discovered that the annual report for 1999 was indeed signed and filed on March 8, 1999, and forwarded with payment to your offices.

On July 12, 1999, I personally telephoned your office and spoke with a woman named Jane (who would not give her last name) in the Annual Reports Department to inquire about the July 3, 1999, notice from your office. She advised me that due to a significant "back-up" in the department, many annual reports were yet to be processed. She advised that I call back in two weeks. Approximately two weeks later, I again called the Annual Reports Department, only to be told "not to worry about it as it will eventually be processed."

Having no other direction upon which to act, having already submitted the form and appropriate fee, and having heard no response since the July, 1999, conversations with your office, RCS could only presume that the Annual Report was recorded. As such, your office's determination that RCS failed to respond to the July 3, 1999, notice is incorrect and the administrative revocation is improper and should be reversed.

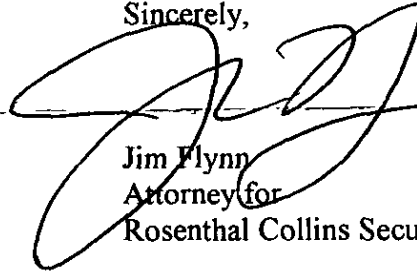
*no record of  
AR or check.*

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October 28, 1999  
Florida Dept. of State

On behalf of RCS, we truly believe that there has been an administrative oversight on the part of the Annual Reports Department in processing this report, as is apparent from the conversation with Jane. If you have any questions or should you request any follow up please feel free to contact me directly at (312) 795-7842.

Sincerely,

A large, stylized handwritten signature in black ink, appearing to be 'JF', is written over a horizontal line.

Jim Flynn  
Attorney for  
Rosenthal Collins Securities, L.L.C.

Enc.

cc: RCS - Tom Wall