

2002 UNIFORM BUSINESS REPORT (UBR)

0110256 AT

DOCUMENT # P10825

1. Entity Name

MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.

FILED

02 JUL 30 AM 11:03

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

Principal Place of Business

30 WALL STREET
NEW YORK NY 10005

Mailing Address

30 WALL STREET
NEW YORK NY 10005

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

13-2887111

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

DO NOT WRITE IN THIS SPACE



6. Name and Address of Current Registered Agent

NATIONSCORP. REGISTERED AGENTS, INC.
526 E. PARK AVENUE
TALLAHASSEE FL 32301

7. Name and Address of New Registered Agent

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☐

FILE NOW!!! FEE IS \$550.00
After September 13, 2002 Fee will be \$750.00
Make Check Payable to Department of State

10. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
CEO
MCLAUGHLIN, JAMES C
1325 AIR MOTIVE WAY - SUITE 175
REMP MV 89502 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
300006914583-4
-08/06/02--01040--020
****150.00 ****150.00 ☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
P
VOGEL, ALLAN M
3 LIBERTY BELL COURT
EAST BRUNSWICK NJ 08816 ☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP
☐ Change ☐ Addition

13. 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 or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other line empowered.

SIGNATURE:

SIGNATURE REQUIRED

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

7/19/02

Date

212-248-0750

Daytime Phone #

CR2E034 (4/02)

Attachment Spec. # P10825

McLAUGHLIN, PIVEN, VOGEL SECURITIES INC.

30 WALL STREET, NEW YORK, N.Y. 10005 • (212) 248-0750 • (800) 221-4947 • Fax (212) 363-8578
www.mpvsec.com

July 19, 2002

Division of Corporations
Uniform Business Report Filings
P.O. Box 1500
Tallahassee, FL 32302-1500

Re: Document # P10825
FEI # 13-2887111

To Whom It May Concern:

This letter is in response to a recent mailing receive by McLaughlin, Piven, Vogel Securities Inc., (hereinafter "MPV"), with regard to the above referenced matter.

I was surprised to receive your mailing, stating that MPV owed a filing fee of \$550.00 when in January 2001 we paid only \$150.00.

It was then brought to my attention that the state of Florida had already sent out the 2002 Uniform Business Report in January, and that in fact I had received a second mailing, thus a second notice.

Please realize that we are located at 30 Wall Street (three blocks from ground zero), and that in December 2001/January 2002 nothing was normal in our community, let alone mail delivery.

MPV simply never received the first notice sent in 2002, so that is why at this time a check is enclosed for \$150.00, which would be the normal filing fee.

In fact, I have attached a copy of the 2001 Uniform Business Report, to show that MPV paid in January 2001, thus in a timely fashion.

I would hope the Division of Corporations understands our plight, will waive the \$550.00 fee, and accept the enclosed amount.

Sincerely,



Ira A. Cohen
Compliance Director
Vice President

IAC/mf

The information contained herein is obtained from sources considered reliable, but the accuracy thereof, is not intended to, and should not be relied upon as a solicitation to purchase any securities referred to herein. McLaughlin, Piven, Vogel Securities Inc. and/or its individual officers and/or directors and/or security holders and/or employees and/or members of their families, may have a position in the securities mentioned and may make purchases and/or sales of their securities from time to time in the open market or otherwise. All securities including stocks, bonds, CMO's, mutual funds and unit investment trusts are subject to price change due to market conditions. This means that the securities could be worth the same, more, or less than the value at the time of purchase if the security is sold prior to maturity. Securities are not F.D.I.C. insured. Past performance is no indication of future results. Neither the information, nor any opinion expressed, constitutes a solicitation of the purchase or sale of any securities.

Please read the above carefully.