

**Commonwealth of Kentucky**  
**Elaine N. Walker, Secretary of State**

LARP  
**0606732**  
Elaine N. Walker  
Secretary of State  
Received and Filed  
**6/30/2011 9:17:57 AM**  
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Elaine N. Walker  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
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**Annual Report  
Online Filing**

**ARP**

**Company:** UPRR SECURITIES, LLC  
**Company ID:** 0606732  
**State of origin:** Delaware  
**Formation date:** 2/22/2005 12:00:00 AM  
**Date filed:** 6/30/2011 9:17:57 AM  
**Fee:** \$15.00

**Principal Office**

450 7TH AVENUE  
STE 1300  
NEW YORK, NY 10123

**Registered Agent Name/Address**

CSC-LAWYERS INCORPORATING SERVICE COMPANY  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

**Members/Managers**

Manager	Phillip Fitzsimmons	450 7th St., #1300, New York, NY 10121
Manager	Robert Irvine	450 7th St., #1300, New York, NY 10121
Manager	Peter Miller	450 7th St., #1300, New York, NY 10121

**Signatures**

<b>Signature</b>	Phillip Fitzsimmons
<b>Title</b>	President