

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

LARP  
**0606732**  
Alison Lundergan Grimes  
KY Secretary of State  
Received and Filed  
**6/29/2012 1:27:30 PM**  
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Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**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:** 6/29/2012 1:27:30 PM  
**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           |