



State of Rhode Island and Providence Plantations
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Limited Liability Company
Annual Report**

Filing Period: September 1 - November 1

In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66 (b&c)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2019

1. ID No. 001658007

2. Exact Name of the Limited Liability Company EF LEGACY SECURITIES, LLC

3. State of Formation

State: DE

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523930

4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island

BROKER/DEALER

5. Principal Office Address

No. and Street: 222 SOUTH FIRST STREET, SUITE 600

City or Town: LOUISVILLE

State: KY Zip: 40202 Country: USA

6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:

Contact Name: Contact Title:

No. and Street: 505 MONTGOMERY STREET, 11TH FLOOR

City or Town: SAN FRANCISCO

State: CA Zip: 94111 Country: USA

**7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.
DO NOT LIST MEMBERS**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	EDWARD J. MERCIER	505 MONTGOMERY STREET, 11TH FLOOR SAN FRANCISCO, CA 94111 USA
MANAGER	DAVID STONE	505 MONTGOMERY STREET, 11TH FLOOR

MANAGER

KAREN CHANG

SAN FRANCISCO, CA 94111 USA

505 MONTGOMERY STREET, 11TH FLOOR
SAN FRANCISCO, CA 94111 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

REGISTERED AGENT SOLUTIONS, INC. 222 JEFFERSON BOULEVARD, SUITE 200 WARWICK , RI
02888

9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).

Signed this 22 Day of October, 2019 at 2:15:15 PM by the authorized person. *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.*

By KAREN CHANG
Signature of Authorized Person

Form No. 632
Revised 09/07

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