

FD900000951

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

PICK-UP     WAIT     MAIL

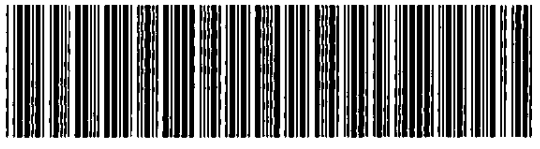
(Business Entity Name)

(Document Number)

Certified Copies \_\_\_\_\_ Certificates of Status \_\_\_\_\_

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02/24/09--01025--006 \*\*70.00

09 MAR - 6 PM 4: 04  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

APPROVED  
AND  
FILED

VH  
102-2312

**COVER LETTER**

**TO:** New Filing Section  
Division of Corporations

**SUBJECT:** Advisors Asset Management, Inc.  
(Name of corporation - must include suffix)

Dear Sir or Madam:

The enclosed "Application by Foreign Corporation for Authorization to Transact Business in Florida," "Certificate of Existence," and check are submitted to register the above referenced foreign corporation to transact business in Florida.

Please return all correspondence concerning this matter to the following:

Michael Dudley  
(Name of Person)  
Advisors Asset Management, Inc.  
(Firm/Company)  
28025 IH-10 West  
(Address)  
Boerne, TX 78006  
(City/State and Zip code)

For further information concerning this matter, please call:

Michael Dudley at 210, 630-6331  
(Name of Person) (Area Code & Daytime Telephone Number)

**STREET/COURIER ADDRESS:**

New Filing Section  
Division of Corporations  
Clifton Building  
2661 Executive Center Circle  
Tallahassee, FL 32301

**MAILING ADDRESS:**

New Filing Section  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

Enclosed is a check for the following amount:

- \$70.00 Filing Fee     \$78.75 Filing Fee & Certificate of Status     \$78.75 Filing Fee & Certified Copy     \$87.50 Filing Fee, Certificate of Status & Certified Copy



FLORIDA DEPARTMENT OF STATE  
Division of Corporations

February 26, 2009

MICHAEL DUDLEY  
28025 I H-10 WEST  
BOERNE, TX 78006

SUBJECT: ADVISORS ASSET MANAGEMENT, INC.  
Ref. Number: W09000009318

We have received your document for ADVISORS ASSET MANAGEMENT, INC. and your check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

A corporation may not serve as its own registered agent. Please designate an individual or another active entity filed or registered with this office, having a Florida street address.

Please return the corrected original and one copy of your document, along with a copy of this letter, within 60 days or your filing will be considered abandoned.

If you have any questions concerning the filing of your document, please call (850) 245-6962.

Valerie Herring  
Regulatory Specialist II  
New Filing Section

Letter Number: 709A00006839

APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.

1. Advisors Asset Management Inc.  
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Delaware 3. 20-0532180  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

1-1-08 as Fixed Income Securities, Inc  
4. Amended 6-16-08 to Advisors Asset Management, Inc. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. NO business transactions as of 2/5/09  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. Advisors Asset Management, Inc.  
(Principal office address)

18925 Base Camp Rd Ste 203 Monument, CO 80132  
(Current mailing address)

8. Investment Services, Listed/Unlisted Securities  
(Purpose(s) of corporation authorized in home state or country to be carried out in state of Florida)

9. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: Andrew Williams

Office Address: 275 Indies Way #1701

Naples, Florida 34110  
(City) (Zip code)

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TALLAHASSEE, FLORIDA

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AND  
FILED

10. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.

(Registered agent's signature)

11. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

APPROVED  
AND  
FILED

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TALLAHASSEE, FLORIDA

12. Names and business addresses of officers and/or directors:

**A. DIRECTORS**

Chairman: Scott Colyer

Address: 18925 Base Camp Rd Ste 203  
Monument, CO 80132

Vice Chairman: N/A

Address: \_\_\_\_\_

Director: Lisa Colyer

Address: 18925 Base Camp Rd Ste 203  
Monument, CO 80132

Director: Jack Simkin

Address: 7220 Trade Street Ste 310  
San Diego, CA 92121

**B. OFFICERS**

President: Andrew Williams

Address: 275 Indies Way #1701  
Naples, FL 34110

Vice President: Jack Simkin

Address: 7220 Trade Street Ste 310  
San Diego, CA 92121

Secretary: Michael Dudley

Address: 28025 IH-10 West Boerne, TX 78006

Treasurer: Scott Roberg

Address: 18925 Base Camp Rd Ste 203 Monument, CO 80132

**NOTE:** If necessary, you may attach an addendum to the application listing additional officers and/or directors.

13. Michael P. Dudley  
(Signature of Director or Officer listed in number 12 of the application)

14. Michael P. Dudley, Senior Vice President, CCO  
(Typed or printed name and capacity of person signing application)

# Delaware

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*The First State*

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "ADVISORS ASSET MANAGEMENT, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE FIFTH DAY OF FEBRUARY, A.D. 2009.

APPROVED  
AND  
FILED  
09 MAR -6 PM 4: 04  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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You may verify this certificate online  
at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)



  
Jeffrey W. Bullock, Secretary of State  
AUTHENTICATION: 7121450

DATE: 02-05-09