

To: FL Dept. of State  
Subject: 000182-11419  
Division of Corporations

From: Katie Worsch

Thursday, November 05, 2009 12:44 PM Page: 1 of 7

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Florida Department of State  
Division of Corporations  
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To: Division of Corporations  
Fax Number : (850) 617-6381

From: Account Name : CORPDIRECT AGENTS, INC.  
Account Number : 110450000714  
Phone : (850) 222-1173  
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DEPARTMENT OF STATE  
DIVISION OF CORPORATIONS  
TALLAHASSEE, FLORIDA

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000182-11419

**FOREIGN PROFIT/NONPROFIT CORPORATION**

**ARBOR RESEARCH & TRADING, INC.**

Certificate of Status	0
Certified Copy	0
Page Count	07
Estimated Charge	\$70.00

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H09000235664 3

**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 607.1505, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. Arbor Research & Trading, 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. Illinois 3. 38-3540782  
(State or country under the law of which it is incorporated) (FBI number, if applicable)

4. 10/01/1987 5. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. 10/01/2009  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 1200 E Las Olas Blvd., Suite 201, Ft. Lauderdale, FL 33301-2365  
(Principal office address)  
1200 E Las Olas Blvd., Suite 201, Ft. Lauderdale, FL 33301-2365  
(Current mailing address)

8. Broker/Dealer products and services  
(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: RAX Co.

Office Address: 50 N. Laura Street, Suite 3300

Jacksonville, Florida 32202  
(City) (Zip code)

**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.*



Nova D. Harb, Vice President of RAX Co.

(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.

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2009 NOV -5 AM 10:52

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H09000235664 3

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

A. DIRECTORS

Chairman: James Stevens

Address: 100 Hart Road, Suite 260  
Barrington, IL 60010

Vice Chairman: \_\_\_\_\_

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

Director: Fred Handler

Address: 100 Hart Road, Suite 260  
Barrington, IL 60010

Director: \_\_\_\_\_

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

B. OFFICERS

President: [See attached Addendum for list of officers]

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

Vice President: \_\_\_\_\_

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

Secretary: \_\_\_\_\_

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

Treasurer: \_\_\_\_\_

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

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

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

14. Christopher Heller, Senior Vice President  
(Typed or printed name and capacity of person signing application)

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H09000235664 3

**Arbor Research & Trading, Inc. – Application by Foreign Corporation for  
Authorization to Transact Business in Florida – Addendum**

**12. B. OFFICERS**

<b>Officer</b>	<b>Name and Address</b>
CEO	James Stevens 100 Hart Road, Suite 260 Barrington, IL 60010
President/COO	Fred Handler 100 Hart Road, Suite 260 Barrington, IL 60010
Executive Vice President	Daniel Lustig 100 Hart Road, Suite 260 Barrington, IL 60010
Executive Vice President	Edward Mc Elwreath 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President/ Secretary/Treasurer	Christopher Heller 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	James Bianco 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	Gregory Blus 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	Ben Breitholtz 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	Thomas Conrad 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	James Perry 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	Robert Reynolds 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	John Spagoletti 100 Hart Road, Suite 260 Barrington, IL 60010
Senior Vice President	Peter Stein 100 Hart Road, Suite 260 Barrington, IL 60010

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DIVISION OF CORPORATIONS  
2009 NOV - 5 AM 10:52

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<b>Officer</b>	<b>Name and Address</b>
Vice President	Jerome Dunseith 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Sassan Ghahramani 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Michael Giaccone 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Scott Hirth 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Andrew Huegli 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Thomas Kiernan 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Paul Lucchesi 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Richard Maher 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Tim Milani 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Kenneth Pugno 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Joe Saling 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Peter Shapiro 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Gray Smith 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	George Spiegel 100 Hart Road, Suite 260 Barrington, IL 60010
Vice President	Charles Steele 100 Hart Road, Suite 260 Barrington, IL 60010

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To: FL Dept. of State  
Subject: 000182.114191

From: Katie Wonsch

Thursday, November 05, 2009 12:14 PM Page: 6 of 7

H09000235664 3

<b>Officer</b>	<b>Name and Address</b>
Vice President	Robert Youstra 100 Hart Road, Suite 260 Barrington, IL 60010
Assistant Treasurer	Lori Muzinic 100 Hart Road, Suite 260 Barrington, IL 60010

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**To all to whom these Presents Shall Come, Greeting:**

*I, Jesse White, Secretary of State of the State of Illinois, do hereby certify that*

ARBOR RESEARCH & TRADING, INC., A DOMESTIC CORPORATION, INCORPORATED UNDER THE LAWS OF THIS STATE ON OCTOBER 01, 1987, APPEARS TO HAVE COMPLIED WITH ALL THE PROVISIONS OF THE BUSINESS CORPORATION ACT OF THIS STATE RELATING TO THE PAYMENT OF FRANCHISE TAXES, AND AS OF THIS DATE, IS IN GOOD STANDING AS A DOMESTIC CORPORATION IN THE STATE OF ILLINOIS.



Authentication #: 0930901634

Authenticate at: <http://www.cyberdriveillinois.com>

*In Testimony Whereof, I hereto set my hand and cause to be affixed the Great Seal of the State of Illinois, this 5TH day of NOVEMBER A.D. 2009*

*Jesse White*

SECRETARY OF STATE

H09000235664 3