

Document Number Only

F95000001585

C T CORPORATION SYSTEM

Requestor's Name

1311 Executive Center Drive, Ste. 200

Address

Tallahassee, FL 32301 (904) 636-0290

City

State

Zip

Phone

CORPORATION(S) NAME

600001429666
-03/24/75--D1087--016
*****399.30 *****399.30

600001429666
-03/24/75--D1087--016
*****70.00 *****70.00

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Southwest Securities, Inc.

5/3

☒ Profit

☐ NonProfit

☐ Amendment

☐ Merger

☒ Foreign

☐ Dissolution/Withdrawal

☐ Mark

☐ Limited Partnership

☐ Annual Report

☐ Other

☐ Restatement

☐ Reservation

☐ Change of R.A.

☐ Certified Copy

☐ Photo Copies

☐ Fictitious Name

☐ CUB / G/B

☐ Call When Ready

☐ Call if Problem

☐ After 4:30

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3-24-75

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CH2E031 (1-89)



FLORIDA DEPARTMENT OF STATE

Sandra B. Mortham
Secretary of State

March 24, 1995

C T CORPORATION SYSTEM

TALLAHASSEE, FL

SUBJECT: SOUTHWEST SECURITIES, INC.
Ref. Number: W95000006619

We have received your document for SOUTHWEST SECURITIES, INC. and your check(s) totaling \$469.30. However, the document has not been filed and is being retained in this office for the following:

We have applied your check in the amount of \$399.30 to the penalty fees quoted below. THERE IS A BALANCE DUE OF \$1,700.70.

Section 607.1502(4) or 617.1502(4), Florida Statutes, requires this office to collect a \$500 penalty fee for each year this entity transacted business or conducted its affairs in Florida prior to qualification and the appropriate annual report fees that would have been due this office had the corporation qualified the year it began operations in this state. The amount due this office to cover both annual report and penalty fees is \$2100.00.

Enclosed please find a copy of section 607.1501 or 617.1501, Florida Statutes, which lists those activities that do not constitute transacting business or conducting affairs in this state. If after reviewing this section you determine erroneous information was inserted on the application, a sworn affidavit containing the following information must be submitted: 1.) a statement indicating erroneous information was listed on the application; and 2.) the correct date the corporation began transacting business or conducting its affairs in Florida prior to the year the application was submitted did not constitute transacting business or conducting affairs pursuant to section 607.1501 or 617.1501, Florida Statutes.

If you have any questions concerning the filing of your document, please call (904) 487-6094.

Steven Harris
Corporate Specialist

Letter Number: 695A00013536

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SOUTHWEST SECURITIES

Affidavit

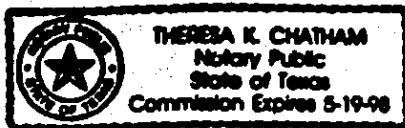
State of Texas }
County of Dallas }

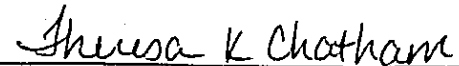
Barbara A. Hart, first being duly sworn on her oath, states: that she is Secretary of Southwest Securities, Inc., a corporation, and as such officer, is duly authorized to make this affidavit on behalf of said corporation.


Barbara A. Hart

Subscribed and sworn to before me this 28 day of March,
1995.

My commission expires May 19, 1998.




Notary Public

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March 28, 1995

Steven Harris
Florida Department of State
Division of Corporations
P.O. Box 6327
Tallahassee, FL 32314

Re: Southwest Securities, Inc.
Ref. Number: W95000006619

I have received a copy of your letter to the C T Corporation dated March 24, 1995 regarding the above referenced.

After reviewing the application, it was determined that erroneous information was listed on the application. The correct date the corporation began transacting business or conducting its affairs in Florida was December 16, 1994 as opposed to December 16, 1992. Attached is a sworn affidavit.

Please let me know if I can be of further assistance.

Sincerely,

Barbara Hart
Corporate Secretary

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**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. Southwest Securities, Inc.
(Name of corporation: must include the word "INCORPORATED," "COMPANY," or "CORPORATION" or words or abbreviations of like import in language, as will clearly indicate that it is a corporation instead of a natural person or partnership if not so contained in the name at present.)

2. Delaware
(State or country under the law of which it is incorporated)

3. December 31, 1991 4. Perpetual
(Date of Incorporation) (Duration)

5. 751382137
(Federal Employer Identification number, if applicable)

6. December 16, 1992
(Date first transacted business in Florida. See sections 607.1501, 607.1502, and 817.155, F.S.)

7. 1201 Elm Street, Suite 4300, Dallas, Texas 75270
(Current mailing address)

8. Branch office of a general securities broker/dealer.
(Brief description of the nature of the business in which it is engaged in the state of Florida)

9. Names and street addresses of officers and or directors:

A. Directors:

Chairman: Don A. Buchholz
Address: 1201 Elm Street, Suite 4300
Dallas, Texas 75270

Vice Chairman: J. Dale Netherland
Address: 1201 Elm Street, Suite 4300
Dallas, Texas 75270

Director: See attached list of directors
Address: _____

Director: _____
Address: _____

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B. Officers:

President: See attached list of officers

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

(if needed, you may attach an addendum to the application listing additional officers and/or directors.)

10. Name and Street address of Florida registered agent:

Name: C T Corporation System

Office Address: U/o C T Corporation System, 1200 South Pine Island Road
Plantation, Florida 33324

Zip Code

11. 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: _____

C T Corporation System

Connie Bryan

(Officer)

CONNIE BRYAN

SPECIAL ASSISTANT SECRETARY
(Typed Name and Title of Officer)

12. 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.

13. _____

(Signature of Chairman, Vice Chairman, or any officer listed in number 9 of the application)

14. Barbara Hart, Secretary

(Name and capacity of person signing application)

**Appendix to Florida
Application by Fgn. Corp. for Authorization to Transact Business in Florida**

**Directors of
Southwest Securities, Inc.**

1. Don A. Buchholz
1201 Elm Street, Suite 4300
Dallas, Texas 75270
2. J. Dale Netherland
1201 Elm Street, Suite 4300
Dallas, Texas 75270
3. Raymond E. Wooldridge
1201 Elm Street, Suite 4300
Dallas, Texas 75270
4. Barbara P. Gillett
1201 Elm Street, Suite 4300
Dallas, Texas 75270
5. Kerwin Randolph Price, Jr.
1201 Elm Street, Suite 4300
Dallas, Texas 75270
6. Robert A. Buchholz
1201 Elm Street, Suite 4300
Dallas, Texas 75270
7. William D. Felder
1201 Elm Street, Suite 4300
Dallas, Texas 75270
8. Dan A. Almon
1201 Elm Street, Suite 4300
Dallas, Texas 75270
9. C. William Dedmon, Jr.
1201 Elm Street, Suite 4300
Dallas, Texas 75270
10. Michael G. Wadsworth
1201 Elm Street, Suite 4300
Dallas, Texas 75270
11. Brian L. Fabrizio
1201 Elm Street, Suite 4300
Dallas, Texas 75270
12. Laurence S. Johnson
1201 Elm Street, Suite 4300

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Appendix to (cont)

Dallas, Texas 75270

13. Allen B. Cobb
1201 Elm Street, Suite 4300
Dallas, Texas 75270
14. Peter Adamson, III
1201 Elm Street, Suite 4300
Dallas, Texas 75270
15. Wayne E. Redmond
1201 Elm Street, Suite 4300
Dallas, Texas 75270
16. David A. Wallace
1201 Elm Street, Suite 4300
Dallas, Texas 75270
17. Mark J. Wood
1201 Elm Street, Suite 4300
Dallas, Texas 75270

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**Appendix to Florida
Application by Fgn. Corp. for Authorization to Transact Business in Florida**

**Officers of
Southwest Securities, Inc.**

1. Don A. Buchholz, Chairman of the Board
1201 Elm Street, Suite 4300
Dallas, Texas 75270
2. J. Dale Netherland, Vice Chairman of the Board
1201 Elm Street, Suite 4300
Dallas, Texas 75270
3. Raymond E. Wooldridge, Chief Executive Officer
1201 Elm Street, Suite 4300
Dallas, Texas 75270
4. Barbara P. Gillett, Senior Vice President, CFO
1201 Elm Street, Suite 4300
Dallas, Texas 75270
5. Kerwin Randolph Price, Jr., Executive Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
6. Robert A. Buchholz, President, Chief Operating Officer
1201 Elm Street, Suite 4300
Dallas, Texas 75270
7. William D. Felder, Senior Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
8. Dan A. Almon, Senior Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
9. C. William Dedmon, Jr., Senior Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
10. Michael G. Wadsworth, Senior Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
11. James R. Bowman, Vice President, Corporate Communications
1201 Elm Street, Suite 4300
Dallas, Texas 75270
12. Jerome S. Wade, Vice President, General Counsel
1201 Elm Street, Suite 4300

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Appendix to (cont)

Dallas, Texas 75270

13. Thomas C. Hushen, Vice President, Chief Information Officer
1201 Elm Street, Suite 4300
Dallas, Texas 75270
14. Brian L. Fabrizzi, Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
15. Laurence S. Johnson, Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
16. Raymond V. Wojtusiak, Vice President
1201 Elm Street, Suite 4300
Dallas, Texas 75270
17. Barbara Hart, Secretary, Treasurer
1201 Elm Street, Suite 4300
Dallas, Texas 75270

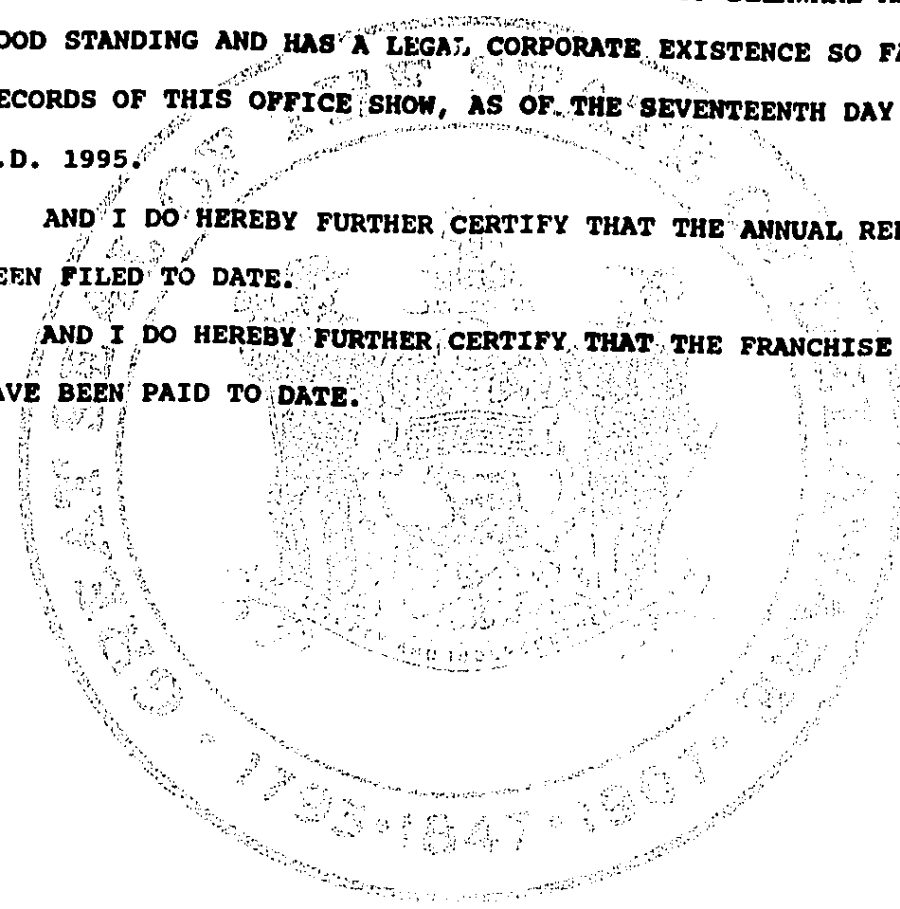
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Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "SOUTHWEST SECURITIES, 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 SEVENTEENTH DAY OF MARCH, A.D. 1995.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.



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Edward J. Freel

Edward J. Freel, Secretary of State

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AUTHENTICATION:

7441922

DATE:

03-17-95