

# F000000000270

## TRANSMITTAL LETTER

To: Qualification/Tax Lien Section  
Division of Corporations

SUBJECT: Oxford Group, Ltd.

(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:

John P. Hatter, Jr.

(Name of Person)

Baker & Daniels

(Firm/Company)

300 North Meridian Street, Suite 2700

(Address)

Indianapolis, IN 46204

(City/State/Zip)

Should you need to call someone concerning this matter, please call:

John P. Hatter, Jr.

(Name of Person)

at (317) 237-1143

(Area Code & Daytime Telephone Number)

### STREET ADDRESS:

Qualification/Tax Lien Section  
Division of Corporations  
409 E. Gaines St.  
Tallahassee, FL 32399

### MAILING ADDRESS:

Qualification/Tax Lien 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

900003080339-0  
-12/27/99-01080-002  
\*\*\*\*\*78.75 \*\*\*\*\*78.75

MJH

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SECRETARY OF STATE  
DIVISION OF CORPORATIONS



FLORIDA DEPARTMENT OF STATE

Katherine Harris  
Secretary of State

January 3, 2000

JOHN P. HATTER, JR.  
BAKER & DANIELS  
300 NORTH MERIDIAN STREET, SUITE 2700  
INDIANAPOLIS, IN 46204

SUBJECT: OXFORD GROUP, LTD.  
Ref. Number: W00000000103

We have received your document for OXFORD GROUP, LTD. and your check(s) totaling \$78.75. However, the enclosed document has not been filed and is being returned for the following correction(s):

The name designated in your document is not available. Therefore, the corporation must adopt an alternate name for use in the state of Florida. To adopt an alternate name the corporation must submit a corporate resolution by the board of directors adopting the alternate name for use in the state of Florida. Please note the corporate resolution must be signed by the chairman, vice chairman, or an officer of the corporation. The alternate name must contain a corporate suffix. Such suffixes include: Corporation, Corp., Incorporated, Inc., Company, and CO.

Please RETURN ALL DOCUMENTATION to the ATTENTION of the DOCUMENT SPECIALIST indicated.

The corporate name must contain a suffix that will clearly indicate that it is a corporation. Such suffixes include: CORPORATION, CORP., COMPANY, CO., INC., and INCORPORATED.

You must list your Federal Employer Identification Number in the appropriate block. If applied for, enter "applied for", or if not applicable, enter "N/A".

The name and title of the person signing the document must be noted beneath or opposite the signature.

A certificate of existence, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

Please return 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) 487-6967.

Michelle Hodges  
Document Specialist

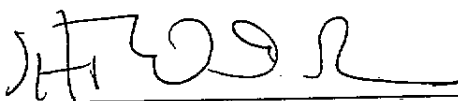
Letter Number: 400A00000126

## RESOLUTION OF BOARD OF DIRECTORS

I, the undersigned **Jeffrey H. Thomasson** do hereby certify that this Resolution of the Board of Directors of Oxford Group, Ltd. (the "Corporation") a corporation duly organized and existing under the laws of the State of Indiana was duly adopted on January 11, 2000.

Be it resolved, that the Corporation organized and existing in the State of Indiana, hereby adopts the name "Oxford Financial Advisors Corp." for use in Florida.

Dated: January 11, 2000

  
\_\_\_\_\_  
Jeffrey H. Thomasson, Director

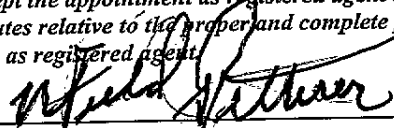
**APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT  
BUSINESS IN FLORIDA**

*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. Oxford Group, Ltd.  
(Name of corporation; must include the word "INCORPORATED", "COMPANY", "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. Indiana 3. 35-1588335  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. January 16, 1984 5. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. January 1, 2000  
(Date first transacted business in Florida.) (SEE SECTIONS 607.1501, 607.1502 and 817.155, F.S.)
7. 11711 North Meridian Street  
Carmel, IN 46032  
(Current mailing address)
8. Federal Registered Investment Advisor to open office in Naples, Florida  
(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 or Mail Drop Box **NOT** acceptable)
- Name: W. Field Retterer
- Office Address: 800 Laurel Oak Drive  
Naples, Florida, 34108  
(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.*

  
(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.

12. Names and addresses of officers and/or directors: (Street address ONLY - P.O. Box NOT acceptable)

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SECRETARY OF STATE  
DIVISION OF CORPORATIONS

**A. DIRECTORS (Street address only - P.O. Box NOT acceptable)**

Director  
Chairman: Jeffrey H. Thomasson

Address: 11711 North Meridian Street  
Carmel, IN 46032

Director:  
Vice Chairman: Michael L. Sears

Address: 11711 North Meridian Street  
Carmel, IN 46032

Director: Jeffrey H. Stroman

Address: 11711 North Meridian Street  
Carmel, IN 46032

Director:

Address:

**B. OFFICERS (Street address only - P.O. Box NOT acceptable) (SEE ATTACHED ALSO)**

President: Jeffrey H. Thomasson

Address: 11711 North Meridian Street  
Carmel, IN 46032

Vice President: Michael L. Sears

Address: 11711 North Meridian Street  
Carmel, IN 46032

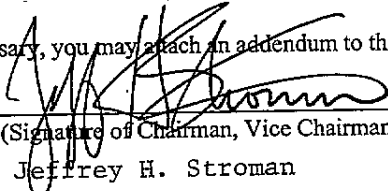
Secretary: Michael L. Sears

Address: 11711 North Meridian Street  
Carmel, IN 46032

Treasurer: Jeffrey H. Stroman

Address: 11711 North Meridian Street  
Carmel, IN 46032

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

13.   
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. Jeffrey H. Stroman

(Typed or printed name and capacity of person signing application)

**ATTACHMENT**

**Application by Foreign Corporation  
For Authorization to Transact  
Business in Florida**

**OXFORD GROUP, LTD.**

**12(B) Names and addresses of officers**

Vice President and  
Chief Information Officer: Robert J. Alcorn  
Address: 11711 North Meridian Street  
Carmel, IN 46032

Vice President and  
Chief Financial Officer: Timothy M. Dean  
Address: 11711 North Meridian Street  
Carmel, IN 46032

Vice President: Robert L. Schaefer  
Address: 11711 North Meridian Street  
Carmel, IN 46032

**STATE OF INDIANA  
OFFICE OF THE SECRETARY OF STATE  
CERTIFICATE OF EXISTENCE**

To Whom These Presents Come, Greeting:

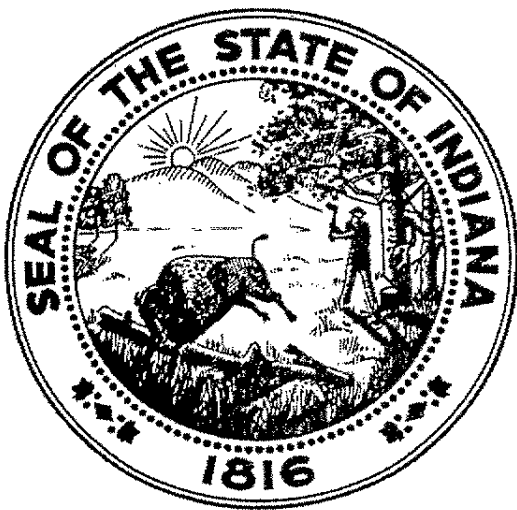
I, SUE ANNE GILROY, Secretary of State of Indiana, do hereby certify that I am, by virtue of the laws of the State of Indiana, the custodian of the corporate records and the proper official to execute this certificate.

I further certify that records of this office disclose that

**OXFORD GROUP, LTD.**

duly filed the requisite documents to commence business activities under the laws of the State of Indiana on January 16, 1984, and was in existence or authorized to transact business in the State of Indiana on January 10, 2000.

I further certify this For-Profit Domestic Corporation has filed its most recent report required by Indiana law with the Secretary of State, or is not yet required to file such report, and that no notice of withdrawal, dissolution or expiration has been filed or taken place.



In Witness Whereof, I have hereunto set my hand  
and affixed the seal of the State of Indiana, at the  
City of Indianapolis, this Tenth Day of January, 2000.

*Sue Anne Gilroy*

SUE ANNE GILROY, Secretary of State