

F0060060 1481

TRANSMITTAL LETTER

To: Qualification/Tax Lien Section
Division of Corporations

SUBJECT: H.C. WAINWRIGHT & CO., 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:

MS. ANNE P. BUCKLEY, ESQ.
(Name of Person)

H.C. WAINWRIGHT & CO., INC.
(Firm/Company)

ONE BOSTON PLACE
(Address)

BOSTON MA 02108
(City/State/Zip)

FILED
MAR 16 AM 9:27
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

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*****78.75 *****78.75

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

MS. ANNE P. BUCKLEY at (617) 788-9594
(Name of Person) (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

**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. H.C. WAINWRIGHT & CO. INCORPORATED

(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. MASSACHUSETTS

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

3. _____

(FEI number, if applicable)

4. JUNE 6, 1990

(Date of incorporation)

5. PERPETUAL

(Duration: Year corp. will cease to exist or "perpetual")

6. APRIL 1, 2000

(Date first transacted business in Florida.) (SEE SECTIONS 607.1501, 607.1502 and 817.155, F.S.)

7. ONE BOSTON PLACE

BOSTON, MA 02108

(Current mailing address)

8. INVESTMENT 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 or Mail Drop Box **NOT** acceptable)

Name: Corporation Service Company

Office Address: 1201 Hays Street

Tallahassee

32301

, Florida, _____
(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.

Conrad Cordell

(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

* PLEASE REFER TO ATTACHED ADDENDUM FOR LIST OF OFFICERS
AND BOARD OF DIRECTORS

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

Chairman: _____

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS (Street address only - P.O. Box NOT acceptable)

President: _____

Address: _____

Vice President: _____

Address: _____

Secretary: _____

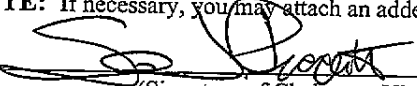
Address: _____

Treasurer: _____

Address: _____

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TALLAHASSEE, FLORIDA

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. SARO J. PICCIOTTO, COO, MEMBER BOARD OF DIRECTORS
(Typed or printed name and capacity of person signing application)

H.C. WAINWRIGHT & CO, INC.

LIST OF BOARD OF DIRECTORS AND OFFICERS

April, 2000

BOARD OF DIRECTORS:

Stephen D. Barrett
One Boston Place, Boston Massachusetts 02108

Robert L. Clark
One Boston Place, Boston Massachusetts 02108

Herb Maher
One Boston Place, Boston Massachusetts 02108

Saro J. Picciotto
One Boston Place, Boston Massachusetts 02108

Eric Singer
One Boston Place, Boston Massachusetts 02108

Richard Trull
One Boston Place, Boston Massachusetts 02108

Scott Weisman
One Boston Place, Boston Massachusetts 02108

OFFICERS:

Chief Executive Officer: Stephen D. Barrett
One Boston Place, Boston Massachusetts 02108

President: Robert L. Clark
One Boston Place, Boston Massachusetts 02108

Chief Operations Officer: Saro J. Picciotto
One Boston Place, Boston Massachusetts 02108

Chief Financial Officer: Steven R. Yardumian
One Boston Place, Boston Massachusetts 02108

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SECRETARY OF STATE
TALLAHASSEE, FLORIDA



The Commonwealth of Massachusetts

Secretary of the Commonwealth

State House, Boston, Massachusetts 02133

William Francis Galvin
Secretary of the
Commonwealth

March 2, 2000

To Whom It May Concern :

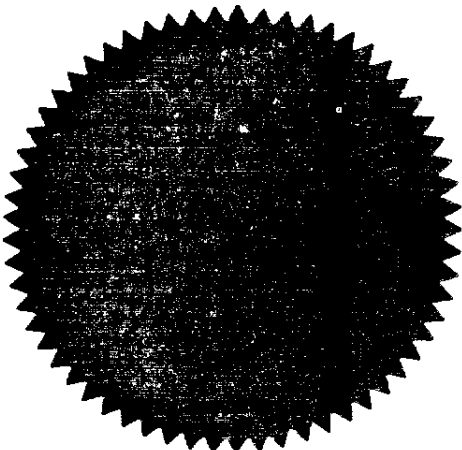
I hereby certify that,

H.C. WAINWRIGHT & CO., INC.

appears by records of this office to have been incorporated under the General Laws of this Commonwealth on **July 6, 1990**.

I also certify that so far as appears of record here, said corporation still has legal existence.

FILED
00 MAR 16 AM 9:27
SECRETARY OF STATE
TALLAHASSEE, FLORIDA



In testimony of which,
I have hereunto affixed the
Great Seal of the Commonwealth
on the date first above written.

William Francis Galvin

Secretary of the Commonwealth

* MGL Chapter 156B Section 83A provides that certain consolidations and mergers may be filed with the division within thirty days after the effective date of the merger or consolidation.