

FOI0000005838

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐

PICK-UP

☐

WAIT

☐

MAIL

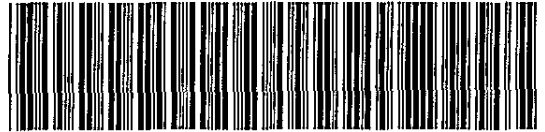
(Business Entity Name)

(Document Number)

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

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Office Use Only



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FILED

05 JUL 28 PM 3:41

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

06/24/05--01046--001 \*\*35.00

sf  
NIC  
Amended

Re: 5  
FOI-5838

## TRANSMITTAL LETTER

**TO:** Amendment Section  
Division of Corporations

**SUBJECT:** Fahnestock Trust Company  
(Name of corporation)

**DOCUMENT NUMBER:** F01000005838

The enclosed Amendment and fee are submitted for filing.

Please return all correspondence concerning this matter to the following:

Betty Diaz  
(Name of person)

Oppenheimer & Co. Inc.  
(Name of firm/company)

125 Broad Street 16th Floor  
(Address)

New York, NY 10004  
(City/state and zip code)

For further information concerning this matter, please call:

Betty Diaz at ( 212 ) 668-8084  
(Name of person) (Area code & daytime telephone number)

Enclosed is a check for the following amount:



\$35.00 Filing Fee



\$43.75 Filing Fee &  
Certificate of Status



\$43.75 Filing Fee &  
Certified Copy  
(Additional copy is  
enclosed)



\$52.50 Filing Fee.  
Certificate of Status &  
Certified Copy  
(Additional copy is  
enclosed)

**Mailing Address:**

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

**Street Address:**

Amendment Section  
Division of Corporations  
409 E. Gaines Street  
Tallahassee, FL 32399

JUL-28-2005 14:39

DIVISION OF BANKING

850 410 9548 P.02/02



OFFICE OF FINANCIAL REGULATION

DON B. SAXON  
COMMISSIONER

FINANCIAL SERVICES  
COMMISSION

JEB BUSH  
GOVERNOR

TOM GALLAGHER  
CHIEF FINANCIAL OFFICER

CHARLIE CRIST  
ATTORNEY GENERAL

CHARLES BRONSON  
COMMISSIONER OF  
AGRICULTURE

July 28, 2005

Ms. Betty Diaz  
Oppenheimer & Co., Inc.  
125 Broad Street, 16<sup>th</sup> Floor  
New York, New York 10004

Dear Ms. Diaz:

Re: Oppenheimer Trust Company

Thank you for your recent letters/faxes requesting approval of the above-referenced name which is a wholly owned subsidiary of Oppenheimer Holdings, Inc., located in New York. You have indicated that the Oppenheimer Trust Company will not be conducting trust business in the state of Florida.

The Office will not object to the use of the above name being registered as a foreign corporation in the state of Florida. This does not authorize the institution to engage in a banking or trust business in the state of Florida, without proper regulatory approvals.

Sincerely,

A handwritten signature in cursive script that reads "Linda B. Charity".

Linda B. Charity  
Director

LBC:ker

cc: Karon Beyer, Chief, Bureau of Commercial Recordings, Division of Corporations,  
Secretary of State's Office  
Susan Payne, Administrator-Amendment Section, Division of Corporations,  
Secretary of State's Office



FLORIDA DEPARTMENT OF STATE  
Glenda E. Hood  
Secretary of State

July 1, 2005

BETTY DIAZ  
OPPENHEIMER & CO. INC.  
125 BROAD ST, 16TH FL  
NEW YORK, NY 10004

SUBJECT: FAHNESTOCK TRUST COMPANY  
Ref. Number: F01000005838

We have received your document for FAHNESTOCK TRUST COMPANY and your check(s) totaling \$35.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

Written approval and clearance of the words BANK, BANC, BANCO, BANQUE, BANKER, BANKING, TRUST COMPANY, SAVINGS AND LOAN ASSOCIATION, SAVINGS BANK or CREDIT UNION, or words of similar import in any context or any manner must be obtained from the Office of Financial Regulation, pursuant to section 655.922(2a), Florida Statutes.

Enclosed is a "Corporate Name Approval Request" form to be completed and sent to the address indicated on the form. If the proposed name is approved by the Office of Financial Regulation, resubmit the document and the approval letter to the Division of Corporations for filing.

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) 245-6957.

Pamela Smith  
Document Specialist

Letter Number: 105A00044439

RECEIVED  
05 JUL 18 AM 8:00  
DIVISION OF CORPORATIONS

**PROFIT CORPORATION**  
**APPLICATION BY FOREIGN PROFIT CORPORATION TO FILE AMENDMENT TO**  
**APPLICATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA**  
(Pursuant to s. 607.1504, F.S.)

**SECTION I**  
**(1-3 MUST BE COMPLETED)**

F01000005838

(Document number of corporation (if known))

1. Fahnestock Trust Company

(Name of corporation as it appears on the records of the Department of State)

2. New Jersey

(Incorporated under laws of)

3. 11/08/2001

(Date authorized to do business in Florida)

**SECTION II**  
**(4-7 COMPLETE ONLY THE APPLICABLE CHANGES)**

4. If the amendment changes the name of the corporation, when was the change effected under the laws of its jurisdiction of incorporation? June 16, 2003

5. Oppenheimer Trust Company

(Name of corporation after the amendment, adding suffix "corporation," "company," or "incorporated," or appropriate abbreviation, if not contained in new name of the corporation)

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

6. If the amendment changes the period of duration, indicate new period of duration.

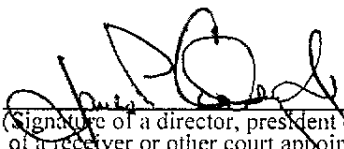
Same

(New duration)

7. If the amendment changes the jurisdiction of incorporation, indicate new jurisdiction.

Same

(New jurisdiction)

  
(Signature of a director, president or other officer - if in the hands of a receiver or other court appointed fiduciary, by that fiduciary)

James P. Carley, Jr.

(Typed or printed name of person signing)

6/14/05  
(Date)

President

(Title of person signing)

**FILED**  
05 JUL 28 PM 3:41  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

# STATE OF NEW JERSEY



## DEPARTMENT OF BANKING AND INSURANCE DIVISION OF BANKING

March 30, 2005

TO WHOM IT MAY CONCERN:

*THIS IS TO CERTIFY that OPPENHEIMER TRUST COMPANY, with its' principal office located at 18 Columbia Turnpike, 3<sup>rd</sup> Floor, Florham Park, Morris County, New Jersey is a corporation duly incorporated under the laws of this State and authorized by the Commissioner of Banking and Insurance to transact business in this State in accordance with the Banking Act of 1948, as amended, and is a qualified bank under Article 8 of said Act.*

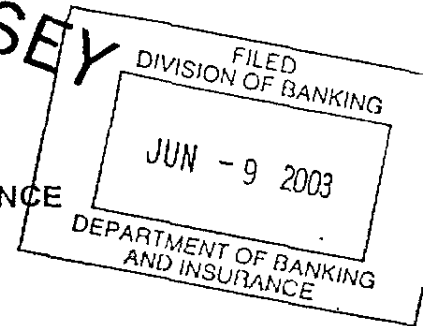
A handwritten signature in cursive script, reading "Michael D. Sheridan".

Michael D. Sheridan  
Chief Examiner  
Applications & Corporate Filings

# STATE OF NEW JERSEY



## DEPARTMENT OF BANKING AND INSURANCE DIVISION OF BANKING



I, William B. Waits, Acting Assistant Director of Banking and Insurance of the State of New Jersey, do hereby find that the amendment to the certificate of incorporation of FAHNESTOCK TRUST COMPANY with principal office in Summit, changing its name to OPPENHEIMER TRUST COMPANY set forth in the foregoing certificate of amendment is for a purpose authorized by law and that all the conditions and requirements in Article 19 of The Banking Act of 1948, as amended, and elsewhere in said Act specified as prerequisites to an amendment to a certificate of incorporation have been satisfied, and I do hereby approve the same and cause it to be filed in this Department.

A handwritten signature in cursive script, appearing to read "W B Waits".

William B. Waits  
Acting Assistant Director

Dated: June 9, 2003