

# F010000006218

## TRANSMITTAL LETTER

**TO:** Registration Section  
Division of Corporations

**SUBJECT:** Peregrine Financials & Securities, 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:

Rebecca J. Wing, Chief Legal Officer  
(Name of Person)

Peregrine Financials & Securities, Inc.  
(Firm/Company)

190 South LaSalle Street, 7th Floor  
(Address)

Chicago, Illinois 60603  
(City/State and Zip code)

RECEIVED  
01 DEC -5 AM 11:12  
DEPARTMENT OF STATE  
DIVISION OF CORPORATIONS  
TALLAHASSEE, FLORIDA

For further information concerning this matter, please call:

700004706047--8  
-12/05/01--01048--021  
\*\*\*\*\*78.75 \*\*\*\*\*78.75

Rebecca J. Wing at ( 312 ) 775-3000  
(Name of Person) (Area Code & Daytime Telephone Number)

**STREET ADDRESS:**  
Registration Section  
Division of Corporations  
409 E. Gaines St.  
Tallahassee, FL 32399

**MAILING ADDRESS:**  
Registration 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

01 DEC -5 AM 11:26  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

APPROVED  
AND  
FILED

JB-5-01

**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. Peregrine Financials & Securities, Inc.  
(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. Iowa 3. 42-1461985  
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. January 14, 1998 5. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. Upon qualification  
(Date first transacted business in Florida. If corporation has not transacted business in Florida, insert "upon qualification.")  
(SEE SECTIONS 607.1501, 607.1502 and 817.155, F.S.)
7. 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603  
(Principal office address)  
190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603  
(Current mailing address)
8. Broker Dealer  
(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: Robert Christopher Park  
Peregrine Financials & Securities, Inc.  
Office Address: 307 North Park Avenue  
Winter Park, , Florida 32789  
(City) (Zip code)

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SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

APPROVED  
AND  
FILED

**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 business addresses of officers and/or directors:

A. DIRECTORS

Chairman: Russell R. Wasendorf, Sr.

Address: 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603

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

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

Director: Thomas E. Pearson

Address: 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603

Director: Russell R. Wasendorf, Sr.

Address: 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603

B. OFFICERS

President: James Kelly

Address: 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603

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

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

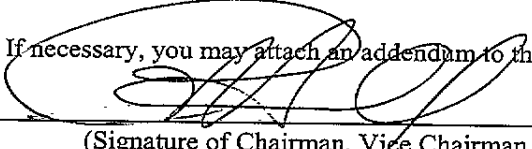
Secretary: Thomas E. Pearson

Address: 190 South LaSalle Street, 7th Floor, Chicago, Illinois 60603

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

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

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. Russell R. Wasendorf, Sr., Chairman

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

APPROVED  
AND  
FILED  
ON DEC-5 AM 11:25  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

# IOWA

No. 00095737  
Date: 11/08/2001

## SECRETARY OF STATE

490 DP-000198774

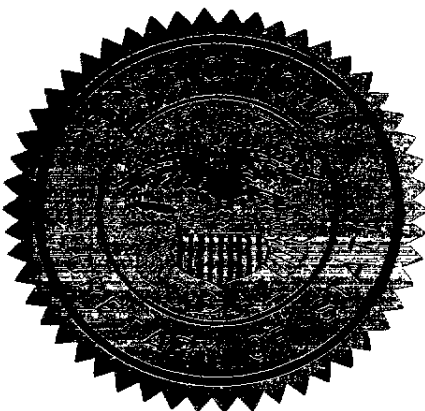
PEREGRINE FINANCIALS & SECURITIES  
REBECCA J WING  
190 S LASALLE ST 7TH FL  
CHICAGO, IL 60603

### CERTIFICATE OF EXISTENCE

Name: PEREGRINE FINANCIALS & SECURITIES, INC.  
Begin date: 19960906  
Expiration: PERPETUAL

I, CHESTER J. CULVER, secretary of state of the state of Iowa, custodian of the records of incorporations, certify that the corporation is in existence and was duly incorporated under the laws of Iowa on the date printed above, that all fees required by the Iowa Business Corporation Act have been paid by the corporation, that the most recent biennial corporate report has been filed by the secretary of state, and that articles of dissolution have not been filed.

01 DEC -5 AM 11:26  
FILED  
SECRETARY OF STATE  
TALLAHASSEE, FLORIDA



*Chester J. Culver*  
\_\_\_\_\_  
CHESTER J. CULVER SECRETARY OF STATE



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