

F02000003417

TO: Registration Section
Division of Corporations

SUBJECT: Banc One Investment Advisors Corporation
(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:

Louise Nelson

(Name of Person)

Bank One Corporation

(Firm/Company)

100 East Broad Street, 18th Floor

(Address)

Columbus, Ohio 43271-0158

(City/State and Zip code)

800004593748-1
-09/17/01--01074--002
*****70.00 *****70.00

W01-21740

For further information concerning this matter, please call:

Louise Nelson

(Name of Person)

at (614) 248-2883

(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

14/p

FILED
SECRETARY OF STATE
DIVISION OF CORPORATIONS
02 JUL - 2 PM 12:43



Bank One
Law Department
100 East Broad Street
18th Floor, OH1-0158
Columbus, OH 43271-0158
Phone: (614) 248-5700
Fax: (614) 248-9552

September 5, 2001

Registration Section
Division of Corporations
P.O. Box 6327
Tallahassee, Florida 32314

FILED STATE
SECRETARY OF CORPORATIONS
DIVISION OF CORPORATIONS
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RE: Application by Foreign Corporation for Authorization to Transact Business in Florida

Dear Sir/Madam:

Please find enclosed an original and a copy of the Application by Foreign Corporation for Authorization to Transact Business in Florida for Banc One Investment Advisors Corporation. Also enclosed is a Certificate of Good Standing for Banc One Investment Advisors Corporation. A check for \$70.00 for the filing fee is enclosed.

Please return a date-stamped copy of the Application in the enclosed self-addressed, stamped envelope. If there are any questions or concerns regarding this Application, please contact me at (614) 248-2883.

Sincerely,

Louise Nelson, Paralegal
Law Department

Enclosures



FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

September 19, 2001

LOUISE NELSON
BANK ONE CORPORATION
100 EAST BROAD STREET, 18TH FLOOR
COLUMBUS, OH 43271-0158

SUBJECT: BANC ONE INVESTMENT ADVISORS CORPORATION
Ref. Number: W01000021740

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We have received your document for BANC ONE INVESTMENT ADVISORS CORPORATION and your check(s) totaling \$70.00. However, the document has not been filed and is being retained in this office for the following:

Written approval and clearance of the terms BANK, BANKER, BANKING, TRUST COMPANY, BANCSHARES, SAVINGS & LOAN ASSOCIATION, SAVINGS BANK, or CREDIT UNION or words of similar import, must be obtained from the Division of Banking, pursuant to section 655.922(2a), Florida Statutes.

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

Pursuant to section 607.1502(4), 617.1502(4) or 608.502(4), Florida Statutes, this office collects a civil penalty of \$1000 for each year this entity transacted business or conducted its affairs in Florida prior to qualification and the appropriate annual report/uniform business report fees that would have been due this office had the entity qualified the year it began operations in this state. The amount due this office to cover both annual report/uniform business report and penalty fees is \$1,150.00.

Enclosed please find a copy of section 607.1501, 617.1501, or 608.502, Florida Statutes, which lists those activities that do not constitute transacting business in this state. If after reviewing this section you determine erroneous information was inserted on the application, a notarized 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 in Florida prior to the year the application was submitted did not constitute transacting business pursuant to section 607.1501, 617.1501 or 608.502, Florida Statutes.

If you have any questions concerning the filing of your document, please call

(850) 245-6958.

Lee Rivers
Document Specialist

Letter Number: 501A00052464

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DIVISION OF CORPORATIONS
02 JUL -2 PM 12:43



Bank One
Law Department
100 East Broad Street
18th Floor, OH 43261-0158
Columbus, OH 43271-0158
Phone: (614) 248-5700
Fax: (614) 248-9552

October 9, 2001

Division of Corporations
Registration Section
Attn: Lee Rivers, Document Specialist
P.O. Box 6327
Tallahassee, Florida 32314

RE: Application by Foreign Corporation for Authorization to Transact Business in Florida

Dear Lee Rivers:

Reference your letter of September 19, 2001 regarding the need for written approval and clearance from the Florida Department of Banking and Finance to use the term "Banc" in the title of a foreign corporation. Please see the enclosed letter from the Department of Banking and Finance, which does not object, to our use of the word "Banc" in the name of the corporate entity.

Please file the original application for Banc One Investment Advisors Corporation and return a date-stamped copy to me in the enclosed self-addressed stamped envelope. If there are any questions or concerns regarding this request, please contact me at (614) 248-2883.

Sincerely,

Louise Nelson, Paralegal
Law Department

Enclosures

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DIVISION OF
CORPORATIONS
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FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

October 16, 2001

LOUISE NELSON
BANK ONE CORPORATION
100 EAST BROAD STREET, 18TH FLOOR
COLUMBUS, OH 43271-0158

SUBJECT: BANC ONE INVESTMENT ADVISORS CORPORATION
Ref. Number: W01000021740

We have received your document for BANC ONE INVESTMENT ADVISORS CORPORATION and your check(s) totaling \$70.00. However, the document has not been filed and is being retained in this office for the following:

Thank you for submitting your name approval from the Department of Banking and Finance. You must still respond to the issue of penalties raised in our previous letter, a copy of which is attached. Also attached is another copy of the statute for your reference. Please submit either the additional payment or the notarized affidavit requested in the letter.

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) 245-6958.

Lee Rivers
Document Specialist

Letter Number: 901A00057125

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SECRETARY OF STATE
DIVISION OF CORPORATIONS
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June 25, 2002

Florida Secretary of State
Division of Corporations
Registration Section
409 East Gaines Street
Tallahassee, Florida 32399

Law, Compliance and
Government Relations Department
OH1-0152
1111 Polaris Parkway
Columbus, OH 43271-0152
Phone: (614) 248-5700
Fax: (614) 248-6157

Re: Application by Foreign Corporation for Authorization to Transact Business in Florida

Dear Sir/Madam:

Please file the enclosed corrected original and copy of the Application by Foreign Corporation for Authorization to Transact Business in Florida for Banc One Investment Advisors Corporation, an Ohio corporation. Enclosed herewith in support of this Application are the following documents:

Affidavit
Certificate of Good Standing
Clearance from Banking Department
Check # 831875672 in amount of \$70.00 to cover the requisite filing fee

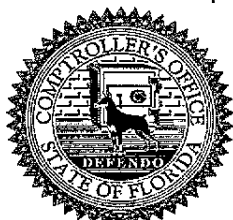
If you have any questions or comments regarding this matter, please contact Louise Nelson at 614/248-2883 or me at 614/248-7598.

Sincerely,

Michael V. Wible, Secretary
Banc One Investment Advisors Corporation

Enclosures

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ROBERT F. MILLIGAN
COMPTROLLER OF FLORIDA

OFFICE OF THE COMPTROLLER

DEPARTMENT OF BANKING AND FINANCE

STATE OF FLORIDA

TALLAHASSEE

32399-0350

October 2, 2001

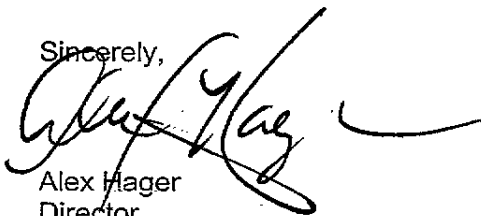
Ms. Louise Nelson
Paralegal
Bank One
Law Department
100 East Broad Street
18th Floor, OH1-0158
Columbus, OH 43271-0158

Dear Ms. Nelson:

Re: "Bank One Investment Advisors Corporation"

Thank you for your recent letter/fax requesting approval for use of the above-referenced corporate name. It is the opinion of this Department that your name is definitive enough to differentiate the business being conducted from that of a commercial bank or trust company. Therefore, the Department does not object to your use of the above-referenced corporate name being registered as a foreign corporation in the state of Florida.

Sincerely,



Alex Hager
Director

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AH:kr

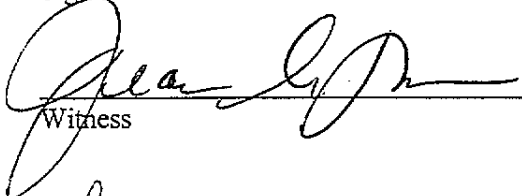
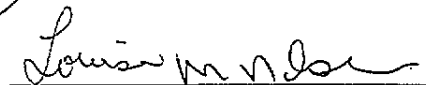
cc: Karon Beyer, Chief, Bureau of Corporate Records,
Division of Corporations, Secretary of State's Office

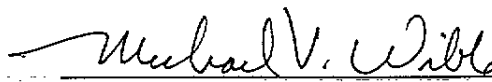
AFFIDAVIT

Michael V. Wible, being first duly sworn, says that:

1. I am the Secretary of Banc One Investment Advisors Corporation, an Ohio corporation.
2. The following facts pertain to the filing on or about September 2001 of An Application by Foreign Corporation for Authorization to Transact Business in Florida to qualify Banc One Investment Advisors Corporation to transact the business in Florida.
 - a. This Application stated that Banc One Investment Advisors Corporation had first transacted business in Florida on June 27, 2000.
 - b. This information is incorrect and was erroneously listed on the application.
 - c. The Florida Department of Banking and Finance, Division of Securities and Finance approved the registration of Banc One Investment Advisors Corporation as an investment advisor on June 27, 2000.
 - d. Even though Banc One Investment Advisors Corporation was approved as an investment advisor on June 27, 2000, it did not transact any business in Florida.
3. A corrected Application by Foreign Corporation for Authorization to Transact Business in Florida for Banc One Investment Advisors Corporation is attached for filing.

Signed in the Presence of Two Witnesses:


Witness

Witness


Michael V. Wible, Secretary
Banc One Investment Advisors Corporation

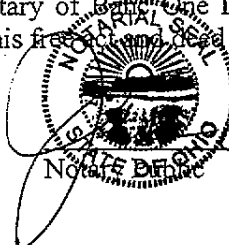
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DIVISION OF CORPORATIONS
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STATE OF OHIO)

COUNTY OF ~~DELAWARE~~)
FRANKLIN)

SS

The foregoing instrument was sworn to before me and subscribed in my presence this 25th day of June, 2002 by Michael V. Wible, Secretary of Banc One Investment Advisors Corporation, who acknowledged signing the forwarding instrument as his first act and deed for and on behalf of the association.



JEANNE M. THOMAS
Notary Public, State of Ohio
My Commission Expires 08-23-05

**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. Banc One Investment Advisors Corporation
(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. Ohio 3. 31-1192865
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 12/18/86 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. 1111 Polaris Parkway, Columbus, Ohio 43240
(Principal office address)
N/A
(Current mailing address)
8. registered investment advisor
(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: CT Corporation System
Office Address: 660 East Jefferson Street
Tallahassee, Florida 32301
(City) (Zip code)

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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)

Jeffrey R. Graves
Assistant Secretary

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: See attached list

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

B. OFFICERS

President: See attached list

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

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

13. Michael V. Wible

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

14. Michael V. Wible, Secretary

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

Banc One Investment Advisors Corporation:

Directors:

Gary J. Madich
1111 Polaris Parkway
Columbus, Ohio 43240

Richard R. Jandrain
1111 Polaris Parkway
Columbus, Ohio 43240

Mark A. Beeson
1111 Polaris Parkway
Columbus, Ohio 43240

Peter W. Atwater
1111 Polaris Parkway
Columbus, Ohio 43240

John G. Abunassar
1111 Polaris Parkway
Columbus, Ohio 43240

David J. Kundert, Chairman
1111 Polaris Parkway
Columbus, Ohio 43240

Officer:

David J. Kundert, President and CEO
1111 Polaris Parkway
Columbus, Ohio 43240

Michael V. Wible, Secretary
100 East Broad Street, 5th Floor
Columbus, Ohio 43271-0152

Verlin L. Horn, Treasurer and Chief Finance Officer
1111 Polaris Parkway
Columbus, Ohio 43240

Beverly J. Langley, DCP
1111 Polaris Parkway
Columbus, Ohio 43240

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Christopher Mohr, Assistant Treasurer
100 East Broad Street
Columbus, Ohio 43215

Charles J. Wooding, Assistant Treasurer
One North Dearborn Street
Chicago, Illinois 60602

Senior Managing Directors (Vice Presidents)
Mark Beeson
1111 Polaris Parkway
Columbus, Ohio 43240

Gary Madich
1111 Polaris Parkway
Columbus, Ohio 43240

Richard R. Jandrain
1111 Polaris Parkway
Columbus, Ohio 43240

John G. Abunassar
1111 Polaris Parkway
Columbus, Ohio 43240

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United States of America
State of Ohio
Office of the Secretary of State

I, J. Kenneth Blackwell, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign corporations; that said records show BANC ONE INVESTMENT ADVISORS CORPORATION, an Ohio corporation, Charter No. 690905, having its principal location in Columbus, County of Franklin, was incorporated on December 18, 1986 and is currently in GOOD STANDING upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 25th day of June, A.D. 2002*

J. Kenneth Blackwell

Ohio Secretary of State

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Validation Number: V2002176JA1A7E