

F03000002813

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP ☐ WAIT ☐ MAIL

(Business Entity Name)

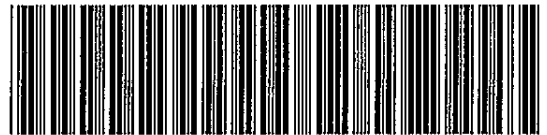
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BK

CT CORPORATION

June 5, 2003

Secretary of State, Florida
409 East Gaines Street
Tallahassee FL 32399

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03
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

Re: Order #: 5825035 WO
Customer Reference 1: SALI
Customer Reference 2: StQual

Dear Secretary of State, Florida:

Please file the attached:

Sterne, Agee & Leach, Inc. (DE)
Qualification
Florida

Sterne, Agee & Leach, Inc. (DE)
Cert Copy of Certificate of Authority
Florida

Sterne, Agee & Leach, Inc. (DE)
Certificate of Status/Authorization-Foreign
Florida

Enclosed please find a check for the requisite fees. Please return evidence of filing(s) to my attention.

If for any reason the enclosed cannot be filed upon receipt, please contact me immediately at (850) 222-1092. Thank you very much for your help.

660 East Jefferson Street
Tallahassee, FL 32301
Tel. 850 222 1092
Fax 850 222 7615

CT CORPORATION

Sincerely,

Katrina Forsman

Katrina Forsman
Fulfillment Specialist
Katrina_Forsman@cch-lis.com

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TALLAHASSEE, FLORIDA

660 East Jefferson Street
Tallahassee, FL 32301
Tel. 850 222 1092
Fax 850 222 7615

A CCH LEGAL INFORMATION SERVICES COMPANY

**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.*

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1. Sterne, Agee & Leach, 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. Delaware 3. 63-0463600
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 09/30/1964 5. Perpetual
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")
6. Upon Qual
(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. 800 Shades Creek Parkway, Suite 700, Birmingham, AL 35209
(Principal office address)
same
(Current mailing address)
8. Securities 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: C T Corporation System
Office Address: 1200 South Pine Island Road
Plantation Florida 33324
(City) (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.

C T Corporation System
By: Dale W. Morris **DALE W. MORRIS**
(Registered agent's signature) **ASSISTANT VICE PRESIDENT**

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: **SEE ATTACHMENT**

A. DIRECTORS

Chairman: James S. Holbrook, Jr.

Address: 800 Shades Creek Parkway, Suite 700
Birmingham, AL 35209

Vice Chairman: _____

Address: _____

Director: Linda M. Daniel

Address: 800 Shades Creek Parkway, Suite 700
Birmingham, AL 35209

Director: Earl D. Bukolt

Address: 800 Shades Creek Parkway, Suite 700
Birmingham, AL 35209

B. OFFICERS

SEE ATTACHMENT

President: James S. Holbrook, Jr.

Address: 800 Shades Creek Parkway, Suite 700
Birmingham, AL 35209

Vice President: _____

Address: _____

Secretary: F. Eugene Woodham

Address: 800 Shades Creek Parkway, Suite 700 Birmingham, AL 35209

Treasurer: F. Eugene Woodham

Address: 800 Shades Creek Parkway, Suite 700 Birmingham, AL 35209

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

13. x

F. Eugene Woodham

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

14. F. Eugene Woodham, Secretary

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

Sterne Agee & Leach, Inc.
Other Senior Officers and Directors

Name	Title	Officer	Director	Address	City State	Zip
Christopher L. Frankel	Managing Director	Yes	Yes	800 Shades Creek Parkway	Birmingham, AL	35209
Alonzo H. Lee, Jr.	Managing Director	Yes	Yes	800 Shades Creek Parkway	Birmingham, AL	35209
W. Taylor Lovell	Managing Director	Yes	Yes	800 Shades Creek Parkway	Birmingham, AL	35209
Joe R. Roberts, Jr.	Managing Director	Yes	Yes	800 Shades Creek Parkway	Birmingham, AL	35209
Charles R. White	Managing Director	Yes	Yes	800 Shades Creek Parkway	Birmingham, AL	35209
William Warren Belser, Jr.	Director Emeritus	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Craig Barrow, III	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Peyton N. Green	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Henry S. Lynn, Jr.	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Dan Matheson	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Richard McAllaster	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
William K. McHenry, Jr.	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Will Hill Tankersley	Managing Director	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jay Alpert	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Scott Amerson	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Robert M. Arrington	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
David C. Barrow, III	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Roy Blumberg	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jim Britton	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
John H. Brooks, III	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Howie Burstein	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jim Burrow	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Charles D. Carlisle	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Paul Casey	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Harry Childers	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
William W. Chisholm, Jr.	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
George M. Crawfish	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Larry Davis	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Robert Evans	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Frank B. Frazer	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Joseph E. Freeman	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Dane Fulmer	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Clarence A. Getchell, III	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
John Gorham	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Franklin Gray	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Royce Guillebeau	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Rory Hartley	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Paul Hoernner	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
John Hopkins	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Phillip D. Huber	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Mat M. Johnson	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Patricia G. Jones	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Ron Josey	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Kevin Kelly	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Carey Landon	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Alan Levy	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
John R. Lynch	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Vincent Martin, III	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
J. Fairley McDonald, Jr.	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Lenn M. Misconis	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Milton S. Park, III	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Charles M. Phillips	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209

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Sterne Agee & Leach, Inc.
Other Senior Officers and Directors

Thomas J. Poe	Senior Vice President	Yes	No	— 800 Shades Creek Parkway	Birmingham, AL	35209
Carlos Rodriguez	Senior Vice President	Yes	No	— 800 Shades Creek Parkway	Birmingham, AL	35209
Peter Roslund	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jimmy Rouse	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
H. Dudley Shollmier	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jerry K. Seton, Jr.	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Walter E. Shackelford	Senior Vice President	Yes	No	— 800 Shades Creek Parkway	Birmingham, AL	35209
William Lee Smith	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
D. Timothy Speegle	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
John Taylor	Senior Vice President	Yes	No	— 800 Shades Creek Parkway	Birmingham, AL	35209
Hugh Ames Uhalt	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Thomas E. Ward	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Jamai Weber	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Reynolds D. Whatley	Senior Vice President	Yes	No	— 800 Shades Creek Parkway	Birmingham, AL	35209
Joseph A. Whitehead	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209
Rick Williams	Senior Vice President	Yes	No	800 Shades Creek Parkway	Birmingham, AL	35209

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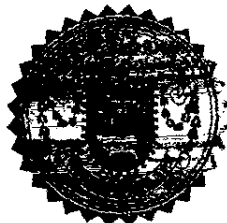
The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "STERNE, AGEE & LEACH, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE THIRD DAY OF JUNE, A.D. 2003.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL REPORTS HAVE BEEN FILED TO DATE.

AND I DO HEREBY FURTHER CERTIFY THAT THE FRANCHISE TAXES HAVE BEEN PAID TO DATE.

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SECRETARY OF STATE
TALLAHASSEE, FLORIDA



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030365343

Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 2450024

DATE: 06-03-03