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## TRANSMITTAL LETTER

**TO:** Registration Section  
Division of Corporations

**SUBJECT:** Oppenheimer Asset Management 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:

Dennis McNamara W63-15996  
(Name of Person)  
Fahnestock & Co. Inc.  
(Firm/Company)  
125 BROAD ST 16TH FL  
(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)

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**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



FLORIDA DEPARTMENT OF STATE

Glenda E. Hood  
Secretary of State

RECEIVED  
JUN 10 2003

June 4, 2003

DENNIS MCNAMARA  
FAHNESTOCK & CO. INC.  
125 BROAD ST. 16TH FL  
NEW YORK, NY 10004

SUBJECT: OPPENHEIMER ASSET MANAGEMENT INC.  
Ref. Number: W03000015996

We have received your document for OPPENHEIMER ASSET MANAGEMENT INC. and your check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

Please list the Federal Employer Identification number in the appropriate section of the application. If applied for, enter "applied for", or if not applicable, enter "N/A".

The date first transacted business in Florida within the meaning of s. 607.1501 608.501, F.S., must be set forth in section 6 of the application. If the corporation/limited liability company has not yet transacted business in Florida within this meaning, please insert the words "upon qualification" in lieu of a date. (Note: Pursuant to s. 607.1502(4), F.S., this office collects a civil penalty of \$1000 for each year other than the application filing year, that a foreign corporation or limited liability company transacts business in this state without authority along with the past annual report/uniform business report fees due this office.)

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: 403A00035017

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FLORIDA DEPARTMENT OF STATE

Glenda E. Hood  
Secretary of State

.June 16, 2003

DENNIS MCNAMARA  
FAHNESTOCK & CO. INC.  
125 BROAD ST. 16TH FL  
NEW YORK, NY 10004

SUBJECT: OPPENHEIMER ASSET MANAGEMENT INC.  
Ref. Number: W03000015996

We have received your document for OPPENHEIMER ASSET MANAGEMENT INC. and your check(s) totaling \$70.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

✓ Thank you for completing line 3 of your application. You must still complete line 6, as requested in our previous letter, a copy of which is attached.

*Done ✓*  
The date first transacted business in Florida within the meaning of s. 607.1501 or 608.501, F.S., must be set forth in section 6 of the application. If the corporation/limited liability company has not yet transacted business in Florida within this meaning, please insert the words "upon qualification" in lieu of a date. (Note: Pursuant to s. 607.1502(4), F.S., this office collects a civil penalty of \$1000 for each year other than the application filing year, that a foreign corporation or limited liability company transacts business in this state without authority along with the past annual report/uniform business report fees due this office.)

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: 603A00037114

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**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. Oppenheimer Asset Management 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. New York 3. N/A  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 12/9/1986 5. PERPETUAL  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. 3/28/03  
(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. 125 BROAD ST 16TH FL, NY, NY 10005  
(Principal office address)

SAME  
(Current mailing address)

8. Stock Broker Service  
(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, Florida 32301  
(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.*

By Carol K. Dolor, Assistant Vice President for  
Corporation Service Company

Carol K. Dolor  
(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.

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12. Names and business addresses of officers and/or directors:

A. DIRECTORS

Chairman: ALBERT G. LOWENTHAL  
Address: 125 BROAD ST 16TH FL  
NEW YORK, NY 10004

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

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

Director: \_\_\_\_\_

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

Director: \_\_\_\_\_

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

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B. OFFICERS

President: ELAINE K. ROBERTS  
Address: 20 EGLINTON AVE W.  
TORONTO, CANADA ONTARIO M4R1K8

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

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

Secretary: DENNIS MCNAMARA

Address: 125 BROAD ST 16TH FL NY, NY 10004

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

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

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

13. [Signature] SUP and Secretary  
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. Dennis E. McNamara  
(Typed or printed name and capacity of person signing application)

State of New York  
Department of State

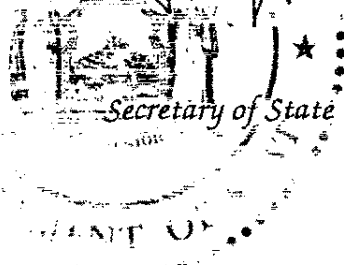
ss:

I hereby certify, that the Certificate of Incorporation of OPPENHEIMER ASSET MANAGEMENT INC. was filed on 12/09/1986, under the name of HUDSON CAPITAL ADVISORS, INC., with perpetual duration, and that a diligent examination has been made of the Corporate index for documents filed with this Department for a certificate, order, or record of a dissolution, and upon such examination, no such certificate, order or record has been found, and that so far as indicated by the records of this Department, such corporation is a subsisting corporation.

A Certificate of Amendment HUDSON CAPITAL ADVISORS, INC., changing its name to OPPENHEIMER ASSET MANAGEMENT INC. , was filed 01/10/2003.

\*\*\*

Witness my hand and the official seal  
of the Department of State at the City  
of Albany, this 15th day of May  
two thousand and three.



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