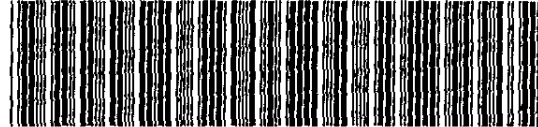


F04000003614

JUN 24 P 2:05

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA



700037527337

05/24/04--01081--016 \*\*97.50

05/24/04--01081--014 \*\*1150.00

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

(Business Entity Name)

(Document Number)

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

Special Instructions to Filing Officer:

W04-22868

AL

Office Use Only



FLORIDA DEPARTMENT OF STATE

Glenda E. Hood  
Secretary of State

FILED

2004 JUN 24 P 2:06

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

June 14, 2004

SUSAN SANDSTRUM  
5710 OLEANDER DR. SUITE 211  
WILMINGTON, NC 28403

SUBJECT: COASTAL INVESTMENT ADVISORS, INC.  
Ref. Number: W04000022868

We have received your document for COASTAL INVESTMENT ADVISORS, INC. and your check(s) totaling \$87.50. However, the document has not been filed and is being retained in this office for the following:

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 \$1150.00.

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) 245-6094.

Agnes Lunt  
Document Specialist

Letter Number: 104A00039895

FILED

TRANSMITTAL LETTER

2004 JUN 24 P 2:06

TO: Registration Section  
Division of Corporations

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

SUBJECT: Coastal Investment Advisors, 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:

Susan Sandstrum  
(Name of Person)  
Coastal Investment Advisors, Inc.  
(Firm/Company)  
5710 Oleander Dr, Suite 211  
(Address)  
Wilmington NC 28403  
(City/State and Zip code)

For further information concerning this matter, please call:

Susan Sandstrum at (910) 794-3333  
(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

APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT  
BUSINESS IN FLORIDA

FILED

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

2004 JUN 24 P 2:06

1. Coastal Investment Advisors, Inc.

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"  
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

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

2. NC, New Hanover

(State or country under the law of which it is incorporated)

3. 56-1508793

(FEI number, if applicable)

4. 3/11/86

(Date of incorporation)

5. Perpetual

(Duration: Year corp. will cease to exist or "perpetual")

6. 4/1/03

(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. 5710 Cleander Dr Suite 211, Wilmington NC 28403

(Principal office address)

Same

(Current mailing address)

8. Financial Services

(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: W.H. Formy-Duval

Office Address: 5230 Clayton Ct. Suite 3

Fort Myers

(City)

, Florida 33907

(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.



(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: \_\_\_\_\_

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

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

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

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

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

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

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

**B. OFFICERS**

President: Please see attached

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

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

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

Secretary: \_\_\_\_\_

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

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

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

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

13. [Signature]

(Signature of Director or Officer listed in number 12 of the application)

14. W. H. Formy-Duval, President

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

**FILED**

2004 JUN 24 P 2:06

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

COASTAL INVESTMENT ADVISORS, INC

OFFICERS / Directors

SS#	CRD#	Last Name	Fname	Mname	Date Hired	Address	Branch	St	Title
2212332		Formy-Duval	William	Hall	01/01/91	5710 Oleander Dr Ste 211	Wilmington	NC	President
2443978		Schardt	Bret	Frederick	08/09/94	5711 Oleander Dr Ste 211	Wilmington	NC	Senior Vice President
2576405		Sandstrum	Susan	Mary	10/31/94	5712 Oleander Dr Ste 211	Wilmington	NC	Vice President of Operations
2792492		Nordeen	Cleve	Ericson	07/22/96	5713 Oleander Dr Ste 211	Wilmington	NC	Vice President
3107349		Jorgensen	Greg	Allen	08/03/98	380 Knollwood St Ste B	Winston-Salem	NC	Sr Vice President National Sales
4194168		Barber	Todd	Richard	05/15/00	5715 Oleander Dr Ste 211	Wilmington	NC	Vice President National Sales

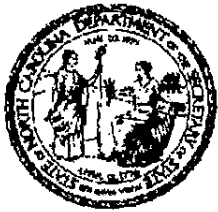
OWNER

56-1505301 Coastal Capital Markets LLC

FILED

2001 JUN 24 P 2:07

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA



# State of North Carolina

## Department of The Secretary of State

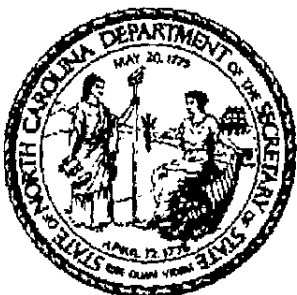
### CERTIFICATE OF EXISTENCE

I, **ELAINE F. MARSHALL**, Secretary of State of the State of North Carolina, do hereby certify that

#### **COASTAL INVESTMENT ADVISORS, INC.**

is a corporation duly incorporated under the laws of the State of North Carolina, having been incorporated on the 11th day of March, 1986, with its period of duration being Perpetual.

I **FURTHER** certify that, as of the date set forth hereunder, the said corporation's articles of incorporation are not suspended for failure to comply with the Revenue Act of the State of North Carolina; that the said corporation is not administratively dissolved for failure to comply with the provisions of the North Carolina Business Corporation Act; that its most recent annual report required by N.C.G.S. 55-16-22 **has been** delivered to the Secretary of State, if applicable; and that the said corporation has not filed articles of dissolution as of the date of this certificate.



IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal at the City of Raleigh, this 27th day of May, 2004.

*Elaine F. Marshall*

Secretary of State