

FO6000002544

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

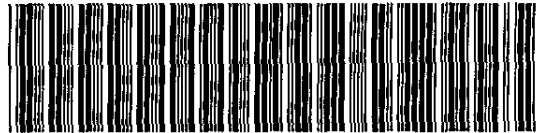
(Business Entity Name)

(Document Number)

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

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04/25/06--01002--008 \*\*78.75

06 APR 24 PM 1:04

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COUNTY CLERK  
CLERK OF SUPERIOR COURT

06 APR 24 PM 2:51

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CLERK OF SUPERIOR COURT

B. McKnight APR 25 2006



a Wolters Kluwer business

CT  
1203 Governors Square Blvd.  
Tallahassee, FL 32301-2960

850 222 1092 tel  
850 222 7615 fax  
www.ctlegalsolutions.com

April 24, 2006

Department of State, Florida  
Clifton Building  
2611 Executive Center Circle  
Tallahassee FL 32301

Re: Order #: 6623714 SO  
Customer Reference 1: None  
Customer Reference 2:

Dear Department of State, Florida:

Please obtain the following:

Fort Washington Brokerage Services, Inc. (OH)  
Qualification  
Florida

Fort Washington Brokerage Services, Inc. (OH)  
Cert Copy of Certificate of Authority  
Florida

Enclosed please find a check for the requisite fees. Please return document(s) to the attention of the undersigned.

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

Sincerely,

A handwritten signature in black ink, appearing to read 'Ashley'.

Ashley A Mitchell  
Fulfillment Specialist  
Ashley.Mitchell@wolterskluwer.com

# 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. Fort Washington Brokerage Services, Inc.  
(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION," "Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

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

2. Ohio 3. 31-0846576  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. 5/21/1974 5. Perpetual  
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. Has engaged in only exempt transactions (see attached copy of affidavit)  
(Date first transacted business in Florida, if prior to registration)  
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 400 Broadway, MS 36, Cincinnati, OH 45202  
(Principal office address)

400 Broadway, MS 36, Cincinnati, OH 45202  
(Current mailing address)

8. Solicitation and sale of Variable Products, Annuities and Life Insurance  
(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 NOT acceptable)

Name: C T Corporation System

Office Address: 1200 South Pine Island Road

Plantation, Florida 33324  
(City) (Zip code)

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CLERK OF STATE  
06 APR 24 PM 1:04  
DIVISION OF CORPORATIONS

## 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: Carol Record  
(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.

04/21/06 12:52 FAX 513 362 8320

IFS

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MAR 10 2006 13:03 FR COMPLIANCE

TO 93628221

P.01/01

03/10/06 13:32 FAX 513 362 8320

IFS

0001

#### A. DIRECTORS

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

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

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

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

Director: Jill T. McGruder

Address: 303 Broadway, Suite 1100  
Cincinnati, OH 45202

Director: Donald J. Wuebbeling

Address: 400 Broadway  
Cincinnati, OH 45202

#### B. OFFICERS

President: Bryan C. Dunn

Address: 400 Broadway  
Cincinnati, OH 45202

Vice President: Sharon L. Karp

Address: 303 Broadway, Suite 1100  
Cincinnati, OH 45202

Secretary: Elisabeth A. Dahl

Address: 400 Broadway, Cincinnati, OH 45202

Treasurer: James J. Vance

Address: 400 Broadway, Cincinnati, OH 45202

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

13. Gregory M. Luchbe  
(Signature of Director or Officer listed in number 12 of the application)

14. Gregory M. Luchbe, Assistant Vice President  
(Typed or printed name and capacity of person signing application)

**Additional Directors**

**Bryan C. Dunn**  
400 Broadway  
Cincinnati, OH 45202

**Additional Officers**

**Jill T. McGruder**  
Senior Vice President  
303 Broadway, Suite 1100  
Cincinnati, OH 45202

**Donald J. Wuebbeling**  
Senior Vice President  
400 Broadway  
Cincinnati, OH 45202

**Terrie A. Wiedenheft**  
Senior Vice President and Chief Financial Officer  
303 Broadway, Suite 1100  
Cincinnati, OH 45202

**Richard K. Taulbee**  
Vice President  
400 Broadway  
Cincinnati, OH 45202

**Douglas E. Dixon**  
Assistant Vice President  
400 Broadway  
Cincinnati, OH 45202

**Gregory M. Luebbe**  
Assistant Vice President  
400 Broadway  
Cincinnati, OH 45202

**Timothy D. Speed**  
Assistant Treasurer  
400 Broadway  
Cincinnati, OH 45202

**Brian E. Hirsch**  
Chief Compliance Officer  
303 Broadway, Suite 1100  
Cincinnati, OH 45202

06 APR 24 PM 1:04  
STONY FARM & OFF STATE  
DIVISION OF COOPERATIONS

**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 FORT WASHINGTON BROKERAGE SERVICES, INC., an Ohio corporation, Charter No. 453571, having its principal location in Cincinnati, County of Hamilton, was incorporated on May 21, 1974 and is currently in GOOD STANDING upon the records of this office.***

FILED  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS  
06 APR 24 PM 1:04



*Witness my hand and the seal of the  
Secretary of State at Columbus, Ohio  
this 10th day of March, A.D. 2006*

*J. Kenneth Blackwell*

Ohio Secretary of State

**AFFIDAVIT OF GREGORY M. LUEBBE**

STATE OF Ohio                     )  
                                              )ss.  
COUNTY OF Hamilton         )

Before me, the undersigned authority, personally appeared Gregory M. Luebbe who being duly sworn, deposes and says:

1. My name is Gregory M. Luebbe and I give the following information of which I have personal knowledge.
2. I am employed as Assistant Vice President of Fort Washington Brokerage Services, Inc. ("Fort Washington"), which is a broker-dealer registered with the United States Securities and Exchange Commission.
3. I have authority to speak on Fort Washington's behalf with regard to matters contained within this Affidavit.
4. I am aware that Fort Washington registered representatives, acting pursuant to a Registered Representative Agreement, sell financial products in the state of Florida.
5. I am aware that the Registered Representative Agreement states with specificity that the registered representative is an independent contractor, that Fort Washington shall not require the registered representative to work a set number of hours, that the registered representative is free to exercise independent judgment as to the time, place and manner of solicitations for all products and services offered by Fort Washington, and that the registered representative is not an employee of Fort Washington.
6. I am also familiar with the Company's business practice of reporting payments made to of registered representative on IRS Form 1099 as independent contractors.
7. I am aware of and have consulted with counsel with respect to Florida Revised Statute §607.1501(e). Upon information and belief, the registered representatives selling financial products on behalf of Fort Washington in the state of Florida are independent contractors within the meaning of that provision.

Executed this 23 day of March, 2006.

Gregory M. Luebbe

**NOTARY PUBLIC**

The foregoing instrument was acknowledged before me this 23 day of March, 2006, by Gregory M. Luebbe, who is personally known to me and who did take an oath.

Carolyn Mary Saenz  
Notary Public, State of Ohio  
(Signature)

**CAROLYN MARY SAENZ**  
Notary Public, State of Ohio  
My Commission Expires June 22, 2010

NOTARY PUBLIC  
DIVISION OF REVENUE  
06 APR 24 PM 1:04