

F0700000 3134

(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:

Office Use Only



900104215449

06/13/07--01041--004 **87.50

FILED

2007 JUN 20 PM 2:09

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

107-25283

T. Hampton JUN 20 2007

COVER LETTER

TO: New Filing Section
Division of Corporations

SUBJECT: The Trust Company of Sterne, Agee & Leach, 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:

Jo-Ann Taylor
(Name of Person)

The Trust Company of Sterne, Agee & Leach, Inc.
(Firm/Company)

800 Shades Creek Parkway, Suite 125
(Address)

Birmingham, AL 35209
(City/State and Zip code)

For further information concerning this matter, please call:

Jo-Ann Taylor at (205) 414-3313
(Name of Person) (Area Code & Daytime Telephone Number)

STREET/COURIER ADDRESS:

New Filing Section
Division of Corporations
Clifton Building
2661 Executive Center Circle
Tallahassee, FL 32301

MAILING ADDRESS:

New Filing 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
Division of Corporations

June 14, 2007

JO-ANN TAYLOR
THE TRUST COMPANY OF STERNE AGEE & LEACH
800 SHADES CREEK PKWY - STE 125
BIRMINGHAM, AL 35209

SUBJECT: THE TRUST COMPANY OF STERNE, AGEE & LEACH, INC.
Ref. Number: W07000028283

RECEIVED
07 JUN 20 PM 12:21
FLORIDA DEPARTMENT OF STATE
DIVISION OF CORPORATIONS
TALLAHASSEE, FLORIDA

We have received your document for THE TRUST COMPANY OF STERNE, AGEE & LEACH, INC. and your check(s) totaling \$87.50. However, the enclosed document has not been filed and is being returned for the following correction(s):

Written approval and clearance of the words BANK, BANC, BANCO, BANQUE, BANKER, BANKING, TRUST COMPANY, SAVINGS AND LOAN ASSOCIATION, SAVINGS BANK or CREDIT UNION, or words of similar import in any context or any manner must be obtained from the Office of Financial Regulation, pursuant to section 655.922(2a), Florida Statutes.

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

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) 245-6855.

Tammy Hampton
Document Specialist

Letter Number: 907A00040045

06/19/2007 23:54 2054143365
06/20/2007 11:02 0504109548

TRUST CO

PAGE 03/03
PAGE 02/02



OFFICE OF FINANCIAL REGULATION

DON B. SAXON
COMMISSIONER

FINANCIAL SERVICES
COMMISSION

CHARLIE CRIST
GOVERNOR

BILL MCCOLLUM
ATTORNEY GENERAL

ALEX SINK
CHIEF FINANCIAL OFFICER

CHARLES BRONSON
COMMISSIONER OF
AGRICULTURE

June 20, 2007

Ms. Jo-Ann Taylor
Sr. Vice President
The Trust Company of Sterne, Agee & Leach, Inc.
800 Shaes Creek Parkway, Suite 125
Birmingham, Alabama 35209

Re: The Trust Company of Sterne, Agee & Leach, Inc.

Dear Ms. Taylor:

Reference is made to your recent letter/fax requesting approval of the above-referenced name which is a state-chartered trust company located in Birmingham, Alabama.

As Section 655.922, Florida Statutes, exempts a financial institution, holding company or its subsidiaries from the prohibition of using the word "bank," "banco," "banque," "banker," "banking," "trust company," "savings and loan association," "savings bank," or "credit union," or words of similar import, in any context or in any manner in its corporate name, the Office will not object to the use of the above name being registered to transact business in the state of Florida. This does not authorize the institution to engage in banking, trust or insurance business in the state of Florida. Proper regulatory approvals will be required.

Sincerely,

Linda B. Charity
Director

LBC:ker

cc: Karon Beyer, Chief, Bureau of Commercial Recordings, Division of Corporations, Department of State

MAILING ADDRESS: DIVISION OF FINANCIAL INSTITUTIONS
200 EAST GAINES STREET, TALLAHASSEE, FLORIDA 32399-0371
(850) 410-9800 • FAX (850) 410-9548

Affirmative Action / Equal Opportunity Employer

2007 JUN 20 PM 2:10
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

**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. The Trust Company of Stearns, Agest & Leach, One.
(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. Alabama 3. 631125970
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. August 25, 1994 5. "perpetual"
(Date of incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. _____
(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 800 Shades Creek Parkway, Suite 125 Birmingham, AL 35209
(Principal office address)

Same as above
(Current mailing address)

8. Trust Company
(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: Robert Harris

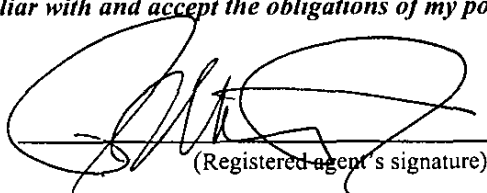
Office Address: 1800 2nd Street, Suite 959
Sarasota, Florida 34236
(City) (Zip code)

2001 JUN 20 PM 2:09
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

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: James Holbrook

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

Vice Chairman: _____

Address: _____

Director: Alonzo Lee

Address: 1901 6th Avenue North, Suite 1570
Birmingham, AL 35203

Director: Henry Lynn

Address: 1901 6th Avenue North, Suite 1570
Birmingham, AL 35203

B. OFFICERS

President: W.A. Ruch, III

Address: 800 Shades Creek Parkway, Suite 125
Birmingham, AL 35209

Executive Vice President: John Calvano

Address: 800 Shades Creek Parkway, Suite 125
Birmingham, AL 35209

Secretary: F. Eugene Woodham

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

~~Treasurer:~~ _____

Address: _____

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

13. W.A. Ruch, III W.A. Ruch, III - CEO-TTCSAL
(Signature of Director or Officer listed in number 12 of the application)

14. W.A. Ruch, III CEO-TTCSAL
(Typed or printed name and capacity of person signing application)

FILED
2007 JUN 20 PM 2:09
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

Beth Chapman
Secretary of State

P.O. Box 5616
Montgomery, AL 36103-5616

STATE OF ALABAMA

I, Beth Chapman, Secretary of State of the State of Alabama, having custody of the Great and Principal Seal of said State, do hereby certify that

the domestic corporation records on file in this office disclose that The Trust Company of Sterne, Agee & Leach, Inc. incorporated in Jefferson County, Montgomery, Alabama on August 25, 1994. I further certify that the records do not disclose that said The Trust Company of Sterne, Agee & Leach, Inc. has been dissolved.



In Testimony Whereof, I have hereunto set my hand and affixed the Great Seal of the State, at the Capitol, in the City of Montgomery, on this day.

June 8, 2007

Date

Beth Chapman

Beth Chapman

Secretary of State