

File 000005003

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

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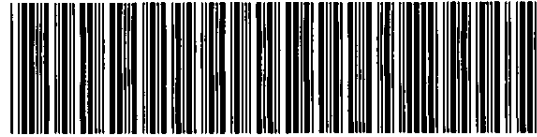
(Business Entity Name)

(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

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16 NOV -8 AM 8:21

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NOV 09 2016
J. HARRIS

SUBJ: HARRIS, J.

16 NOV -8 AM 10:07

SUNSHINE CORPORATE FILING OF FLORIDA INC.

3458 Lakeshore Drive
Tallahassee, Florida 32312

(850) 656-4724

SUNSHINECORPORATE2014@GMAIL.COM

Date: 11-7-16

ENTITY NAME:

STERNE AGEE INVESTMENT
ADVISOR SERVICES, INC

****PLEASE FILE THE ATTACHED AND RETURN:****

☒ Plain Copy
☐ Certified Copy

****PLEASE OBTAIN THE FOLLOWING FOR THE ABOVE ENTITY:****

Document Number: _____

_____ Certified Copy of Arts & Amendments

_____ Certificate of Good Standing

****APOSTILLE/NOTARIAL CERTIFICATION:****

COUNTRY OF DESTINATION _____

NUMBER OF CERTIFICATES REQUESTED _____

TOTAL AMOUNT OWED: 70.00

CHECK NUMBER: 3046

PLEASE CONTACT TINA OR ERIC AT 850-656-4724 FOR ANY PROBLEMS OR INFORMATION ON THIS MATTER.

Thank you!

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: Sterne Agee Investment Advisor Services, 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," or "Certificate of Good Standing" 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:

Name of Person

Firm/Company

Address

City/State and Zip code

E-mail address: (to be used for future annual report notification)

For further information concerning this matter, please call:

Name of Person at (_____) _____
Area Code Daytime Telephone Number

STREET/COURIER ADDRESS:

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

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**

*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.*

Steme Agee Investment Advisor Services, Inc.

1. _____
(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. Delaware _____ 3. _____
(State or country under the law of which it is incorporated) (FEI number, if applicable)
4. 08/12/2014 _____ 5. _____
(Date of incorporation) (Date of duration, if other than perpetual)

06/30/2016

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

7. 2 Perimeter Park South, Suite 100W, Birmingham, AL 35243

(Principal office address)

(Current mailing address, if different)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: NRAI Services, Inc. _____

Office Address: 1200 South Pine Island Road _____

Plantation _____, Florida 33324
(City) (Zip code)

9. 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.

NRAI SERVICES, INC.

BY: Natalie Leiba-Paul
Natalie Leiba-Paul, (Registered agent's signature) Assistant Secretary

10. 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.

16 MAY -9 AM 8:22

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

A. DIRECTORS

Chairman: SEE ATTACHED

Address: _____

Vice Chairman: _____

Address: _____

Director: William John Dunaway

Address: 2 Perimeter Park South, Suite 100W
Birmingham, AL 35243

Director: Patricia Marie Harrod

Address: 2 Perimeter Park South, Suite 100W
Birmingham, AL 35243

B. OFFICERS

President: SEE ATTACHED

Address: _____

Vice President: _____

Address: _____

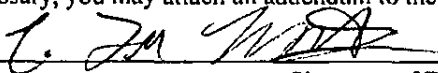
Secretary: _____

Address: _____

Treasurer: _____

Address: _____

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

12.  _____
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in s.817.155, F.S.

13. C. Fred Wagstaff, Chief Financial Officer

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

Sterne Agee Investment Advisor Services, Inc.

List of Officers/Directors

Full Legal Name	Domestic, Foreign, Individual	Title or Status	Date Title or Status Acquired	Ownership Code	Residential Address	City State Zip
RICHARDSON, MARCUS, BRYANT	Individual	CHIEF OPERATIONS OFFICER	Sep-14	Less than 5%	6821 CASTLE HEIGHTS ROAD	MORRIS, AL 35116
WAGSTAFF, CONNER, FRED	Individual	CHIEF FINANCIAL OFFICER	Sep-14	Less than 5%	1228 LIBERTY PARK LOOP	BIRMINGHAM, AL 35242
PINTARIC, WILLIAM, RICHARD	Individual	CHIEF COMPLIANCE OFFICER	Sep-14	Less than 5%	3695 ST. ANDREWS	YOUNGSTOWN, OH 44504
CARTER, JAY, WILSON	Individual	CHIEF EXECUTIVE OFFICER	Dec-15	Less than 5%	2016 KING STABLES ROAD	BIRMINGHAM, AL 35242
INTL FCSTONE INC	Domestic Entity	100% OWNER	Jul-16	75% or more	n/a	n/a
DUNAWAY, WILLIAM, JOHN	Individual	DIRECTOR	Aug-16	Less than 5%	14470 NW 62ND PLACE	PARKVILLE, MO 64152
HARROD, PATRICIA, MARIE	Individual	DIRECTOR	Aug-16	Less than 5%	10602 W 164TH TER	OVERLAND PARK, KS 66062
LYON, CHARLES, MARTIN	Individual	DIRECTOR	Aug-16	Less than 5%	251 W Trotters Dr	MAITLAND, FL 32751
NGUYEN, XUONG, THO	Individual	DIRECTOR	Aug-16	Less than 5%	1136 BOB O LINK	HIGHLAND PARK, IL 60035
O'CONNOR, SEAN, MICHAEL	Individual	DIRECTOR	Aug-16	Less than 5%	5 CREAMER HILL ROAD	GREENWICH, CT 06831
SEPHTON, BRIAN, TRIGGER	Individual	DIRECTOR	Aug-16	Less than 5%	1373 WINDY RIDGE COURT	LONGWOOD, FL 32750

22:08 PM 8-20-2016

Printed on 8/20/2016

Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "STERNE AGEE INVESTMENT ADVISOR SERVICES, 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 SEVENTH DAY OF NOVEMBER, A.D. 2016.

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

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "STERNE AGEE INVESTMENT ADVISOR SERVICES, INC." WAS INCORPORATED ON THE TWELFTH DAY OF AUGUST, A.D. 2014.

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



5584804 8300

SR# 20166524596

You may verify this certificate online at corp.delaware.gov/authver.shtml

A handwritten signature in black ink, appearing to read "JBullock", is written over a horizontal line. Below the line, the text "Jeffrey W. Bullock, Secretary of State" is printed in a small font.

Authentication: 203291024

Date: 11-07-16