

F19000002696

(Requestor's Name)

(Address)

(Address)

(City/State/Zip/Phone #)

☐ PICK-UP ☐ WAIT ☐ MAIL

(Business Entity Name)

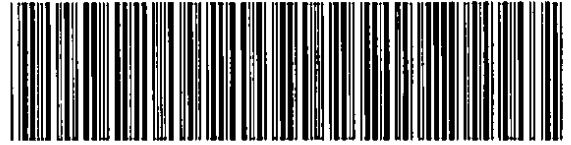
(Document Number)

Certified Copies _____ Certificates of Status _____

Special Instructions to Filing Officer:

W19000037715

Office Use Only



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04/11/19--01018--009 **125.00

2019 JUN 11 PM 4:38
SECRETARY OF STATE
TALLAHASSEE, FLORIDA

FILED

Y SCOTT
JUN 11 2019





SWS Advisors, Inc.
1900 Polaris Parkway, Suite 450
Columbus, OH 43240
P: 614-438-5300 F: 614-410-3384

June 5, 2019

Florida Department of State
Division of Corporations
PO Box 6327
Tallahassee, FL 32314

To Whom it May Concern:

In April of this year, we submitted paperwork to register our firm, SWS Advisors, Inc., with the state of Florida. Later that month, we received a response letter stating we submitted the incorrect paperwork and the incorrect fee amount.

We have completed the correct paperwork and are submitting it with this letter. With our previous submission, we sent a check for \$125. Knowing now the correct registration fee is only \$70, we kindly ask for reimbursement of the difference (\$55). Please make the check payable to SWS Advisors, Inc. and send it at your earliest convenience.

If you have any questions, please let me know. I appreciate your help in our registration process.

Sincerely,

A handwritten signature in black ink, appearing to read 'Rich Milliken', is written over the word 'Sincerely,'.

Rich Milliken, VP



FLORIDA DEPARTMENT OF STATE
Division of Corporations

April 16, 2019

RICHARD MILLIKEN
1900 POLARIS PARKWAY
SUITE:450
COLUMBUS, OH 43240

SUBJECT: SWS ADVISORS, INC.
Ref. Number: W19000037715

We have received your document for SWS ADVISORS, INC. and your check(s) totaling \$125.00. However, the enclosed document has not been filed and is being returned for the following correction(s):

A certificate of existence or a certificate of good standing, dated no more than 90 days prior to the delivery of the application to the Department of State, duly authenticated by the secretary of state or other official having custody of the records in the jurisdiction under the laws of which it is incorporated/organized, must be submitted to this office. A translation of the certificate under oath of the translator must be attached to a certificate which is in a language other than the English language. A photocopy of this certificate is not acceptable.

The form you submitted is for a foreign llc, but your entity is a foreign profit. Please complete and return the enclosed blank form(s).

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) 245-6052.

Yvette Scott
Document Specialist II

Letter Number: 919A00007710

COVER LETTER

TO: Registration Section
Division of Corporations

SUBJECT: SWS 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," 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:

Richard Milliken
Name of Person

SWS Advisors, Inc.
Firm/Company

1900 Polaris Parkway, Suite 450
Address

Columbus, OH 43240
City/State and Zip code

rmilliken@centerpointstewardship.com
E-mail address: (to be used for future annual report notification)

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TALLAHASSEE, FLORIDA
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For further information concerning this matter, please call:

Richard Milliken at (614) 438-5300
Name of Person 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.

1. SWS Advisors, 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. OH 3. 31-1025745
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. _____ 5. _____
(Date of incorporation) (Date of duration, if other than 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. 1900 Polaris Parkway, Suite 450 Columbus, OH 43240
(Principal office address)

(Current mailing address, if different)

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

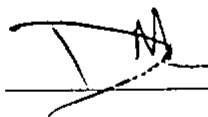
Name: Darryl Mason

Office Address: 7060 Rosabella Circle

Jacksonville, Florida 32258
(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, 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)

10. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application 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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TALLAHASSEE, FLORIDA

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

A. DIRECTORS

Chairman: _____

Address: _____

Vice Chairman: _____

Address: _____

Director: _____

Address: _____

Director: _____

Address: _____

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TALLAHASSEE FLORIDA

B. OFFICERS

President: Robert Ostrander

Address: 1900 Polaris Parkway, Suite 450

Columbus, OH 43240

Vice President: Richard Milliken

Address: 1900 Polaris Parkway, Suite 450

Columbus, OH 43240

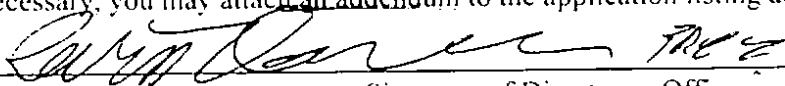
Secretary: _____

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. Robert Ostrander President

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

UNITED STATES OF AMERICA
STATE OF OHIO
OFFICE OF THE SECRETARY OF STATE

I, Frank LaRose, 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 business entities; that said records show SWS ADVISORS, INC., an Ohio corporation, Charter No. 588777, having its principal location in Columbus, County of Franklin, was incorporated on January 28, 1982 and is currently in GOOD STANDING upon the records of this office.

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TALLAHASSEE, FLORIDA



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 23rd day of April, A.D. 2019.*

A handwritten signature in cursive script, appearing to read "Frank LaRose".

Ohio Secretary of State

Validation Number: 201911300444