

# F19000004444

\_\_\_\_\_  
(Requestor's Name)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(City/State/Zip/Phone #)

☐ PICK-UP

☐ WAIT

☐ MAIL

\_\_\_\_\_  
(Business Entity Name)

\_\_\_\_\_  
(Document Number)

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**COVER LETTER**

**TO:** Amendment Section Division of Corporations

**SUBJECT:** B. Riley FBR, Inc.

Name of Corporation

**DOCUMENT NUMBER:** F19000004444

The enclosed Amendment and fee are submitted for filing.

Please return all correspondence concerning this matter to the following:

Gina Downs

Name of Contact Person

B. Riley Financial, Inc.

Firm/Company

21255 Burbank Blvd., Suite 400

Address

Woodland Hills, CA 91367

City/State and Zip Code

gdowns@brileyfin.com

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

For further information concerning this matter, please call:

Gina Downs

at ( 818 ) 746-9310

Name of Contact Person

Area Code & Daytime Telephone Number

Enclosed is a check for the following amount:

☒ \$35 Filing Fee

☐ \$43.75 Filing Fee &  
Certificate of Status

☐ \$43.75 Filing Fee &  
Certified Copy

☐ \$52.50 Filing Fee,  
Certificate of Status &  
Certified Copy

**Mailing Address:**

Amendment Section  
Division of Corporations  
P.O. Box 6327  
Tallahassee, FL 32314

**Street Address:**

Amendment Section  
Division of Corporations  
The Centre of Tallahassee  
2415 N. Monroe Street, Suite 810  
Tallahassee, FL 32303

**PROFIT CORPORATION**  
**APPLICATION BY FOREIGN PROFIT CORPORATION TO FILE AMENDMENT TO APPLICATION FOR**  
**AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA**  
(Pursuant to s. 607.1504, F.S.)

**SECTION I**  
**(1-3 MUST BE COMPLETED)**

F19000004444

(Document number of corporation (if known))

1. B. Riley FBR, Inc.  
(Name of corporation as it appears on the records of the Department of State)
2. Delaware 3. 09/30/2019  
(Incorporated under laws of) (Date authorized to do business in Florida)

**SECTION II**  
**(4-7 COMPLETE ONLY THE APPLICABLE CHANGES)**

4. If the amendment changes the name of the corporation, when was the change effected under the laws of its jurisdiction of incorporation? July 9, 2020
5. B. Riley Securities, Inc.  
(Name of corporation after the amendment, adding suffix "corporation," "company," or "incorporated," or appropriate abbreviation, if not contained in new name of the corporation)
- (If new name is unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)
6. If the amendment changes the period of duration, indicate new period of duration.

n/a

(New duration)

7. If the amendment changes the jurisdiction of incorporation, indicate new jurisdiction.

n/a

(New jurisdiction)

8. If amending the registered agent and/or registered office address in Florida, enter the name of the new registered agent and/or the new registered office address:

Name of New Registered Agent

n/a

(Florida street address)

New Registered Office Address: \_\_\_\_\_, Florida \_\_\_\_\_  
(City) (Zip Code)

New Registered Agent's Signature, if changing Registered Agent:

*I hereby accept the appointment as registered agent. I am familiar with and accept the obligations of the position.*

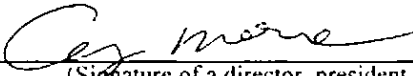
\_\_\_\_\_  
*Signature of New Registered Agent, if changing*

20111114

9. If the amendment changes person, title or capacity in accordance with 607.1504 (4), indicate that change:

| <u>Title/ Capacity</u> | <u>Name</u> | <u>Address</u> | <u>Type of Action</u>           |
|------------------------|-------------|----------------|---------------------------------|
|                        | n/a         |                | Add                             |
|                        |             |                | <input type="checkbox"/> Remove |
|                        |             |                | Add                             |
|                        |             |                | <input type="checkbox"/> Remove |
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|                        |             |                | Add                             |
|                        |             |                | <input type="checkbox"/> Remove |

10. Attached is a certificate or document of similar import, evidencing the amendment, authenticated not more than 90 days prior to delivery of the application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the laws of which it is incorporated.

  
(Signature of a director, president or other officer - if in the hands of a receiver or other court appointed fiduciary, by that fiduciary)

|   |                           |
|---|---------------------------|
| Andy Moore                                | CEO                       |
| (Typed or printed name of person signing) | (Title of person signing) |

FILING FEE \$35.00

# Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF  
DELAWARE, DO HEREBY CERTIFY THAT THE SAID 'B. RILEY FBR, INC.',  
FILED A CERTIFICATE OF AMENDMENT, CHANGING ITS NAME TO 'B. RILEY  
SECURITIES, INC.' ON THE NINTH DAY OF JULY, A.D. 2020, AT 8:38  
O'CLOCK P.M.



  
Jeffrey W. Bullock, Secretary of State

2199550 8320  
SR# 20206202683

Authentication: 203274220

Date: 07-13-20

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

# Delaware

The First State

Page 1

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF  
DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT  
COPY OF THE CERTIFICATE OF AMENDMENT OF "B. RILEY FBR, INC.",  
CHANGING ITS NAME FROM "B. RILEY FBR, INC." TO "B. RILEY  
SECURITIES, INC.", FILED IN THIS OFFICE ON THE NINTH DAY OF  
JULY, A.D. 2020, AT 8:38 O'CLOCK P.M.



2199550 8100  
SR# 20206156269

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

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

Jeffrey W. Bullock, Secretary of State

Authentication: 203270730  
Date: 07-13-20

**STATE OF DELAWARE  
CERTIFICATE OF AMENDMENT  
OF CERTIFICATE OF INCORPORATION**

The corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware does hereby certify:

**FIRST:** That at a meeting of the Board of Directors of  
B. Riley FBR, Inc.

resolutions were duly adopted setting forth a proposed amendment of the Certificate of Incorporation of said corporation, declaring said amendment to be advisable and calling a meeting of the stockholders of said corporation for consideration thereof. The resolution setting forth the proposed amendment is as follows:

**RESOLVED**, that the Certificate of Incorporation of this corporation be amended by changing the Article thereof numbered "<sup>4</sup>\_\_\_\_\_ " so that, as amended, said Article shall be and read as follows:

"The name of the Corporation is B. Riley Securities, Inc."

**SECOND:** That thereafter, pursuant to resolution of its Board of Directors, a special meeting of the stockholders of said corporation was duly called and held upon notice in accordance with Section 222 of the General Corporation Law of the State of Delaware at which meeting the necessary number of shares as required by statute were voted in favor of the amendment.

**THIRD:** That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law of the State of Delaware.

**IN WITNESS WHEREOF**, said corporation has caused this certificate to be signed this 8th day of July, 2020.

By: \_\_\_\_\_

Authorized Officer

Title: CEO

Name: Andy Moore

Print or Type

State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 08:38 PM 07/09/2020  
FILED 08:38 PM 07/09/2020

SR 20206156269 - File Number 2199550