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F95000000098

C T CORPORATION SYSTEM

Requestor's Name

1311 Executive Center Drive, Ste. 200

Address

Tallahassee, FL. 32301 (904) 656-8290

City

State

Zip

Phone

CORPORATION(S) NAME

300001372313
-01/06/95--01044--058
*****70.00 *****70.00

Baraban Securities Incorporated

☒ Profit

☐ NonProfit

☐ Amendment

☐ Merger

☒ Foreign

☐ Dissolution/Withdrawal

☐ Mark

☐ Limited Partnership

☐ Annual Report

☐ Other

☐ Reinstatement

☐ Reservation

☐ Change of R.A.

☐ Fictitious Name

☐ Certified Copy

☐ Photo Copies

☐ CUS / G/S

☐ Call When Ready

☐ Call If Problem

☐ After 4:30

☒ Walk In

☐ Will Wait

☒ Pick Up

☐ Mail Out

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SECRETARY OF STATE
DIVISION OF CORPORATIONS
95 JAN -5 PM 12:49

CR2E031 (1-89)

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. BARATAN SECURITIES INCORPORATED
(Name of corporation: must include the word "INCORPORATED," "COMPANY," or "CORPORATION" or words or abbreviations of like import in language, as will clearly indicate that it is a corporation instead of a natural person or partnership if not so contained in the name at present.)

2. California
(State or country under the law of which it is incorporated)

3. April 28, 1978
(Date of Incorporation)

4. Perpetual
(Duration)

5. 95-3244023
(Federal Employer Identification number, if applicable)

6. Upon Qualification
(Date first transacted business in Florida. See sections 607.1501, 607.1502, and 817.155, F.S.)

7. 2121 AVENUE OF THE STARS, #1400, LOS ANGELES, California 90067
(Current mailing address)

8. SECURITIES BROKER - DEALER
(Brief description of the nature of the business in which it is engaged in the state of Florida)

9. Names and street addresses of officers and or directors:

A. Directors:

Chairman: See attached list of directors

Address: _____

Vice Chairman: See attached list of directors

Address: _____

Director: See attached list of directors

Address: _____

Director: _____

Address: _____

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STATE
NATION

9. Officers:

President: See attached list of officers

Address: _____

Vice President: _____

Address: _____

Secretary: _____

Address: _____

Treasurer: _____

Address: _____

(If needed, you may attach an addendum to the application listing additional officers and/or directors.)

10. Name and Street address of Florida registered agent:

Name: C T Corporation System

Office Address: c/o C T Corporation System, 1200 South Pine Island Road
Plantation, Florida 33324

Zip Code

11. 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: _____

D.F. Hickey
(Officer)
D.F. Hickey, Assistant Secretary
(Typed Name and Title of Officer)

12. 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.

13. Stuart S. Greenberg
(Signature of Chairman, Vice Chairman, or any officer listed in number 9 of the application)

14. STUART S. GREENBERG, CHIEF EXECUTIVE OFFICER
(Name and capacity of person signing application)

LIST OF OFFICERS AND DIRECTOR
OF
BARABAN SECURITIES INCORPORATED

Stuart S. Greenberg	Chief Executive Officer/ Chairman of the Board/ Director	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Robert E. Paset	President/Chief Operating Officer	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Claudine L. Kalin	Corporate Secretary	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
G. Diana Moreno	Chief Financial Officer	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Robert W. Campbell	Sr. Vice President, Investment Banking	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Neal J. Kohlhaas	Sr. Vice President, Institutional Sales	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Leonard Rothstein	Sr. Vice President, Syndication & Trading	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
John Dutton	Sr. Vice President, Director of Research	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067
Raymond J. Volker	Sr. Vice President, Financial Planning & Insurance Services	2121 Avenue of the Stars Suite 1400 Los Angeles, CA 90067

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 95 MAY 10 PM 12:14

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DIVISION OF CORPORATION

C T CORPORATION SYSTEM

Requestor's Name
660 East Jefferson Street

Address
Tallahassee, Florida 32301

City State Zip Phone
904-222-1092

CORPORATION(S) NAME

600001717246
-02/16/96--01054--036
*****35.00 *****35.00

Baraban Securities Incorporated

FILED
96 FEB 16 PM 2:00
TALLAHASSEE, FLORIDA
STATE

<input type="checkbox"/> Profit	<input type="checkbox"/> Amendment	<input type="checkbox"/> Merge
<input type="checkbox"/> NonProfit		
<input type="checkbox"/> Limited Liability Company	<input checked="" type="checkbox"/> Dissolution/Withdrawal	<input type="checkbox"/> Mark
<input type="checkbox"/> Foreign		
<input type="checkbox"/> Limited Partnership	<input type="checkbox"/> Annual Report	<input type="checkbox"/> Other
<input type="checkbox"/> Reinstatement	<input type="checkbox"/> Reservation	<input type="checkbox"/> Change of R.A.
<input type="checkbox"/> Certified Copy	<input type="checkbox"/> Photo Copies	<input type="checkbox"/> Fictitious Name
		<input type="checkbox"/> CUS/ G/S
<input type="checkbox"/> Call When Ready	<input type="checkbox"/> Call If Problem	<input type="checkbox"/> After 4:30
<input checked="" type="checkbox"/> Walk In	<input type="checkbox"/> Will Wait	<input checked="" type="checkbox"/> Pick Up
<input type="checkbox"/> Mail Out		

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2/16/96

With
OK
2/16

APPLICATION BY FOREIGN CORPORATION FOR WITHDRAWAL OF AUTHORITY
TO TRANSACT BUSINESS OR CONDUCT AFFAIRS IN FLORIDA

Baraban Securities Incorporated
(Name of Corporation)

California
(Incorporated Under Laws Of)

FILED
FEB 13 PM 2:00
TALLAHASSEE, FLORIDA

This corporation is no longer transacting business or conducting affairs within the State of Florida and hereby voluntarily surrenders its authority to transact business or conduct affairs in Florida.

This corporation revokes the authority of its registered agent in Florida to accept service on its behalf and appoints the Department of State as its agent for service of process based on a cause of action arising during the time it was authorized to transact business or conduct affairs in Florida.

The following is a current mailing address to which the Department of State may mail a copy of any process against this corporation that may be served on the Department.

2121 Avenue of the Stars, Suite 1400
(Mailing Address)

Los Angeles, California 90067
(City - State - Zip)

The corporation agrees to notify the Department of State in the future of any change in its mailing address.


Signature

2-8-96
Date

Stuart S. Greenberg
Typed or printed name

President
Title