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## TRANSMITTAL LETTER

**TO: QUALIFICATION/TAX LIEN SECTION  
DIVISION OF CORPORATIONS**

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-03/20/96--01087--025  
\*\*\*\*\*78.75 \*\*\*\*\*78.75

**SUBJECT:** JB OXFORD & COMPANY 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:

Al Laubenstein  
(Name of Person)  
JB Oxford & Company  
(Firm/Company)  
9665 Wilshire Blvd., Third Floor  
(Address)  
Beverly Hills, CA 90212  
(City, State and Zip Code)

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Should you need to call someone concerning this matter, please call:

Al Laubenstein at ( 310 ) 777 - 8888  
(Name of Person) Area Code & Daytime Telephone Number

**COURIER ADDRESS:**

Qualification/Tax Lien Sec.  
Division of Corporations  
409 E. Gaines St.  
Tallahassee, FL 32399

**MAILING ADDRESS:**

Qualification/Tax Lien Sec.  
Division of Corporations  
P. O. Box 6327  
Tallahassee, FL 32314

Add "Inc" to  
Name per  
phone record section 3/21  
with Al Laubenstein.

## 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. JB OXFORD & COMPANY, Inc.  
(Name of corporation: must include the word "INCORPORATED", "COMPANY", "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. UTAH 3. \_\_\_\_\_  
(State or country under the law of which it is incorporated) (FEI number, if applicable)

4. August 23, 1983 5. Perpetual  
(Date of Incorporation) (Duration: Year corp. will cease to exist or "perpetual")

6. Anticipate April 1996  
(Date first transacted business in Florida. (See sections 607.1501, 607.1502, and 217.153, F.S.))

7. JB Oxford & Company  
One Brickell Square  
801 Brickell Avenue  
Miami, FL 33131 (Current mailing address)

8. Buying and selling of securities as a broker-dealer.  
(Purpose(s) of corporation authorized in home state or country to be carried out in the state of Florida)

9. Name and street address of Florida registered agent:

Name: Richard White

Office Address: One Brickell Square  
801 Brickell Avenue  
Miami, FL , Florida , 33131  
(Zip Code)

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.

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12. Names and addresses of officers and/or directors: (Street address ONLY- P. O. Box NOT acceptable)

A. DIRECTORS (Street address only- P. O. Box NOT acceptable)

Chairman: Stephen Rubenstein

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

Vice Chairman: Raymond Reilly

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

Director: Michael Chiodo

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

Director: Al Laubenstein

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

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B. OFFICERS (Street address only- P. O. Box NOT acceptable)

President: Stephen Rubenstein

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

Vice President: Raymond Reilly

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

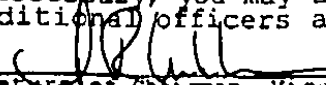
Secretary: Robert Riley

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

Treasurer: Michael Chiodo

Address: 9665 Wilshire Blvd., Third Floor  
Beverly Hills, CA 90212

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

13.   
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. Al Laubenstein, Vice President Compliance  
(Typed or printed name and capacity of person signing application)

***APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO  
TRANSACTION BUSINESS IN FLORIDA***

***Addendum***

***12. (Continued)***

***B. OFFICERS***

***Vice President Compliance: Al Laubenstein***  
***Address: 9665 Wilshire Blvd., Third Floor***  
***Beverly Hills, CA 90212***

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**CERTIFICATION  
OF GOOD STANDING**

THE UTAH DIVISION OF CORPORATIONS AND COMMERCIAL  
CODE HEREBY CERTIFIES THAT

***JB OXFORD & COMPANY***

is a Utah corporation and is qualified to transact business in the State of Utah, and that its most recent annual report required by Utah law has been filed, and that Articles of Dissolution have not been filed. A Certificate of Incorporation was issued from this office on *August 23, 1983* and said corporation is in good standing, as appears of record in the offices of the Division.

This certification is not intended to reflect the financial condition, business activity or practices of this corporation.

File Number: *CO 105358*



Dated this 18th day  
of March, 19 96.

*Karla S. Woods*

Karla T. Woods  
Director, Division of  
Corporations and Commercial Code