

Document Number Only

F98000000 2624

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Requestor's Name

660 East Jefferson Street

Address

Tallahassee, FL 32301

City

State

Zip

Phone

CORPORATION(S) NAME

98 MAY -8 PM 12:50

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DIVISION OF CORPORATIONS

Janney Montgomery Scott Inc

5/8

☐ Profit

☐ NonProfit

☐ Limited Liability Company

☐ Foreign

☐ Amendment

☐ Dissolution/Withdrawal

☐ Merger

☐ Mark

☐ Limited Partnership

☐ Reinstatement

☐ Limited Liability Partnership

☐ Annual Report

☐ Reservation

☐ Other

☐ Change of R.A.

☐ Fictitious Name

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THANKS

JOEY

5/8/98

## TRANSMITTAL LETTER

To: Qualification/Tax Lien Section  
Division of Corporations

500002508385--3  
-05/01/98--01113--001  
\*\*\*\*122.50 \*\*\*\*122.50

SUBJECT: JANNEY MONTGOMERY SCOTT INC.  
(Name of corporation - must include suffix)

W98-9895

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:

FLORA R. PEREZ  
(Name of Person)  
MORGAN, LEWIS & BOCKIUS LLP  
(Firm/Company)  
200 SOUTH BISCAYNE BOULEVARD, 53RD FL.  
(Address)  
MIAMI, FLORIDA 33131-2339  
(City/State/Zip)

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

FLORA R. PEREZ at ( 305 ) 579-0414  
(Name of Person) (Area Code & Daytime Telephone Number)

<b>COURIER ADDRESS:</b> Qualification/Tax Lien Section Division of Corporations 409 E. Gaines Street Tallahassee, FL 32399	<b>MAILING ADDRESS:</b> Qualification/Tax Lien Section Division of Corporations P.O. Box 6327 Tallahassee, FL 32314
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**FLORIDA DEPARTMENT OF STATE**

**Sandra B. Mortham**  
Secretary of State

May 4, 1998

FLORA R. PEREZ  
MORGAN, LEWIS & BOCKLUS LLP  
200 SOUTH BISCAYNE BLVD., 53RD FL  
MIAMI, FL 33131-2339

SUBJECT: JANNEY MONTGOMERY SCOTT INC  
Ref. Number: W98000009895

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We have received your document for JANNEY MONTGOMERY SCOTT INC and your check(s) totaling \$122.50. However, the enclosed document has not been filed and is being returned for the following correction(s):

The date first transacted business in Florida within the meaning of s. 607.1501 or 608.501, F.S., must be set forth in section 6 of the application. If the corporation/limited liability company has not yet transacted business in Florida within this meaning, please insert the words "upon qualification" in lieu of a date. (Note: Pursuant to s. 607.1502(4), F.S., this office collects a civil penalty of \$1000 for each year other than the application filing year, that a foreign corporation or limited liability company transacts business in this state without authority along with the past annual report fees due this office.)

The designation of the registered agent must be at a Florida street address.

The registered agent must sign accepting the designation.

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) 487-6097.

Michael Mays  
Document Specialist

Letter Number: 798A00024219

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. Janney-Montgomery Scott 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. Delaware  
(State or country under the law of which it is incorporated)
3. 23-0731260  
(FEI Number, if applicable)
4. May 29, 1929  
(Date of Incorporation)
5. Perpetual  
(Duration: Year corp. will cease to exist or "perpetual")
6. Upon qualification  
(Date first transacted business in Florida. (SEE SECTION 607.1501, 607.1502 AND 817.155 F.S.))
7. 1801 Market Street  
Philadelphia, PA 19103  
(Current Mailing address)
8. Broker/Dealer, investment banking, investment advising, mortgage brokerage and service, insurance sales, finance consulting and related activities.  
(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: (P.O. Box or Mail Drop Box NOT acceptable)  
Name: CT Corporation System, Inc.  
Office Address: 1200 South Pine Island Road  
Plantation,  
Florida, 33324  
(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.

Connie Bryan  
(Registered agent's signature)

CONNIE BRYAN  
SPECIAL ASSISTANT SECRETARY

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.

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: SEE ATTACHED ADDENDUM

Address: \_\_\_\_\_

Vice  
Chairman: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

Director: \_\_\_\_\_

Address: \_\_\_\_\_

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

President: SEE ATTACHED ADDENDUM

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.

13. Howard B. Scherer, V.P.  
(Signature of Chairman, Vice Chairman, or any officer listed in number 12 of the application)

14. Howard B. Scherer, Vice President  
(Typed or printed name and capacity of person signing application)

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ADDENDUM TO APPLICATION BY FOREIGN CORPORATION FOR  
AUTHORITY TO TRANSACT BUSINESS IN FLORIDA

...12. A and B

Attached hereto is the list of corporate officers and directors. Their mailing address is as follows:

c/o Janney Montgomery Scott Inc.  
1801 Market Street  
Philadelphia, PA 19103-1675

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## CURRENT LISTING OF CORPORATE OFFICERS

Rudolph Charles Sander

Charles Beckwith Cook, Jr.

Norman Taylor Wilde, Jr.

Ronald Michael Berardino

John Joseph Gray

William Gresham O'Malley III

James William Wolitarsky

William Rea Brandreth, Sr.

George Thomas Croonquist, Sr.

Ashton Goodliff Eldredge, Jr.

Michael C. Foley

James Maurice Meyer

Richard Allen Purkiss

Alan M. Schankel

Charles John Sullivan

Nancy S. Brodie

Robert E. Chappell

William Joel Barrett

Joseph Patrick Fenton

Herbert M. Gardner

Christopher R. Howell

Steven Kashishian

Steven Mark Lichtenthal

Mark Madvedoff

Michael J. Mufson

Michael Robert Patitucci

William Richard Radetzky

John K. Ruello

William Rulon-Miller

Michael Stephan Spatacco

Will S. Tickner

Stanton Weissenborn

Richard Avallon

Robert John Bennett

William Raymond Betz

Randall Biggs

James Bodine

William James Carlin, Jr.

Robert John Chelik

George Thomas Croonquist, Jr.

Chairman of the Board

& Chairman of the Executive Committee

Vice Chairman, Board of Directors

President & Chief Executive Officer, & Director

Executive Vice President & Director

Executive Vice President & Director

Senior Vice President, Secretary & Director

Senior Vice President, Treasurer & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Senior Vice President & Director

Director

Director

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

Senior Vice President

First Vice President

First Vice President

First Vice President

First Vice President

First Vice President

First Vice President

First Vice President

First Vice President

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CORPORATE OFFICERS

Robert Cully  
Paul Dallas  
Steve Woodward Day  
Dominic Charles DiCicco  
Lawrence Patrick Doyle  
John Fortuna, Jr.  
Jay Clark Gonzalez  
Jack Grim  
Lawrence David Hunt  
James Terrance Hunter, Jr.  
Lawrence Retlaw Johnson  
Henry Halsey Kirkpatrick, Jr.  
Philip A. Kontul  
Thomas Frank Lagana  
Robert Carl Langen  
Brian Westcott Lee  
Jerome F. Lombard, Jr.  
Edward Losty  
Katherine A. Marks  
Edward Joseph McAlenney, Jr.  
James Anthony McCrea  
James McLean  
Alan Smith Meminger  
Norman Kenneth Mielziner  
Paul Nicholas Onori  
Eugene Peroni, Jr.  
Robert Reed  
Robert Kenneth Richards, II  
Kenneth Vincento Rosato  
Steven K. Rubel  
William Joseph Sanford  
Gail Roberta Simon  
Jeanette Louise Stark  
Richard Anson Thornton  
Richard A. Thompson  
Darcy Travlos  
Stephen Karl Waitneight  
Frederick R. Warren  
Arthur James Whitaker, Jr.  
Hrayr Aris  
Patricia Donna Armando  
Linda Ann Armstrong

PAGE TWO OF FOUR

First Vice President  
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First Vice President  
First Vice Pres. & Asst. Secty.  
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First Vice President  
First Vice President  
First Vice President  
First Vice President  
First V.P., Asst. Treas. & Controller  
First Vice President  
First Vice President  
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First Vice President  
First Vice President  
Vice President  
Vice President  
Vice President

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CORPORATE OFFICERS

PAGE THREE OF FOUR

Douglas Russell Bevers	Vice President
Randall Biggs	Vice President
Robert Thomas Blair	Vice President
Barbara Bodner	Vice President
Donald J. Boyd	Vice President
Kevin Bradley	Vice President
Douglas Brickley	Vice President
Lorraine Bryant	Vice President
Arnold Chassen	Vice President
John Joseph Chuff	Vice President
Donald Andrew Colangelo	Vice President
James Davis	Vice President
Margaret Louise Derby	Vice President
Joseph James Dillon	Vice President
Margaret Ellen Emerson	Vice President
John William Engelskirger	Vice President
Edward William Gilhool	Vice President
Douglas Gregory	Vice President
Susan Gress	Vice President
Patrick Grimail	Vice President
Christopher Haidinger	Vice President
Brian Higgins	Vice President
John Alfred Hobelman	Vice President
John Patrick Hughes	Vice President
Millard Irving Jackson, Jr.	Vice President
Jay L. Junior	Vice President
Joseph Kelm	Vice President
Robert Gerald Kenney	Vice President
Lewis Irving Lukehart	Vice President
Horace VanDeventer Lurton	Vice President
Richard B. Marshall	Vice President
Mary Ann Mellon Melchiorre	Vice President
Felix Anthony Meschini, Jr.	Vice President
Robert Paul Mills	Vice President
George Molaro	Vice President
Thomas Anthony Monsour	Vice President
Christopher Munafio	Vice President
Michael Napoli	Vice President
L. Rodman Page, III	Vice President
Edwin Enos Perry	Vice President
Gary Pulcini	Vice President
Peter Reinhart	Vice President
Daniel Remigino	Vice President

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Ismael Rios  
Jack A. Roberts  
Walter A. Saling, Jr.  
Howard B. Scherer  
Mary Ellen Schnepf  
David Story Jenks Smith  
Edward Joseph Smith, Jr.  
Paul C. Smith  
Michael Wallace Snader  
Kevin Edward Souder  
William Richard Swanson  
Joseph Anthony Tarangelo  
Charles Doran Vance  
Walter Webb  
Walter Westhead  
Gregory Wicks  
Anne Bryson  
Adele Mildred Deegan  
Lynn Marie DeNofa  
Susan E. Eastburn  
Lawrence Fredrick Goldenberg  
Patricia Howard  
Christian Huber, Jr.  
Patricia Ryerson Keown  
Jack Arnold Lund  
Robert J. Martin  
Nancy Anne Meehan  
Edward Thomas Moody  
Jerome John Murphy  
Daniel Lloyd Rothman  
Frank Ralph Souza  
Walter Joseph Souza  
Barbara Jean Webb  
Michael Yost

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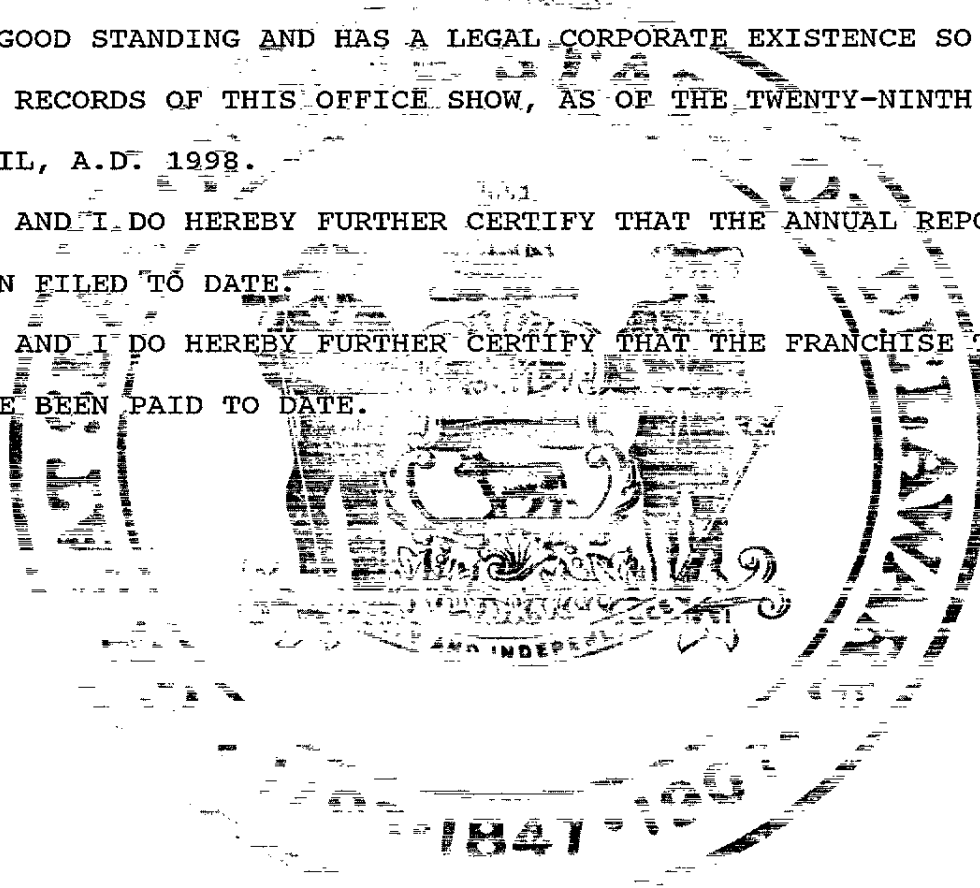
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Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "JANNEY MONTGOMERY SCOTT 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 TWENTY-NINTH DAY OF APRIL, A.D. 1998.

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

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



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*Edward J. Freel*

Edward J. Freel, Secretary of State

AUTHENTICATION:

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