

F990000004113

ACCOUNT FILING COVER SHEET

ACCOUNT NUMBER: F24000000005

REFERENCE: 4017442-1
(Sub Account)

DATE: 8-11

REQUESTOR NAME: LEXIS

ADDRESS: _____

TELEPHONE: (____) (____) ext (____)

CONTACT NAME: _____

CORPORATION NAME: WM Smith Securities, Incorporated

DOCUMENT NUMBER: _____
(if applicable)

100002956561--D

AUTHORIZATION: C. Woodyard

- ☒ CERTIFIED COPY (1-9)
- ☐ CERTIFICATE OF STATUS (1-9)
- ☐ PLAIN STAMPED COPY

- ☒ Call When Ready
- ☐ Walk In
- ☐ Mail Out
- ☐ Call if Problem
- ☐ Will Wait

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

99 AUG 11 AM 10:09
FILED
1:30
Clock Up

File First

RECEIVED
99 AUG 11 AM 9:50
DIVISION OF CORPORATE AFFAIRS
TALLAHASSEE, FLORIDA

ACCOUNT FILING COVER SHEET

ACCOUNT NUMBER: FCA000000005

REFERENCE: 4017442-1
(Sub Account)

DATE: 8-11

REQUESTOR NAME: LEXIS

ADDRESS: _____

TELEPHONE: (____) (____) ext (____)

CONTACT NAME: _____

CORPORATION NAME: WM Smith Securities, Inc.

DOCUMENT NUMBER: _____
(if applicable)

AUTHORIZATION: C. Woodward

☒ CERTIFIED COPY (1-9)
☐ CERTIFICATE OF STATUS (1-9)
☐ PLAIN STAMPED COPY

☒ Call When Ready	☐ Call if Problem	☐ After 4:30
☒ Walk In	☐ Will Wait	☐ Pick Up
☐ Mail Out		

**APPLICATION
FOR AUTHORIZATION
TO TRANSACT BUSINESS IN FLORIDA
OF
WM SMITH SECURITIES, INCORPORATED**

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. The name of the corporation is **Wm Smith Securities, Incorporated** (the "Corporation").
2. The Corporation was incorporated under the laws of the State of Colorado.
3. The Corporation's Federal Employer Identification number is 84-1209744.
4. The date of incorporation of the Corporation is August 25, 1992.
5. The Corporation has perpetual duration.
6. The Corporation will begin to transact business in Florida upon authorization.
7. The current mailing address of the Corporation is:

Wm Smith Securities, Incorporated
1700 Lincoln Street, Suite 3650
Denver, CO 80203

8. The purpose of the Corporation is securities broker-dealer services.
9. The name and address of the Corporation's Registered Agent in Florida is:

LEXIS Document Services Inc.
3953 WW Kelley Road
Tallahassee, FL 32311

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SECRETARY OF STATE
TALLAHASSEE FLORIDA

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.

LEXIS Document Services Inc.

By: Michael A. Turano
Name: MICHAEL A. TURANO
Title: Assistant Secretary

11. Attached is a certificate of existence of the Corporation 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 laws of which the Corporation is incorporated.

12. Names and addresses of officers and directors of the Corporation:

NAME AND ADDRESS

TITLE

William S. Smith
1700 Lincoln St., Suite 3650
Denver, CO 80203

Sole Director, President and Treasurer

Luann E. Smith
1700 Lincoln St., Suite 3650
Denver, CO 80203

Secretary

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SECRETARY OF STATE
TALLAHASSEE FLORIDA

Dated: July 31, 1999

WM SMITH SECURITIES, INCORPORATED

By: William S. Smith
William S. Smith
President and Treasurer



STATE OF COLORADO

DEPARTMENT OF
STATE

CERTIFICATE

I, DONETTA DAVIDSON, SECRETARY OF STATE OF THE STATE OF
COLORADO HEREBY CERTIFY THAT

ACCORDING TO THE RECORDS OF THIS OFFICE

WM SMITH SECURITIES, INCORPORATED
(COLORADO CORPORATION)

FILE # 19921083676 WAS FILED IN THIS OFFICE ON August 25, 1992...
AND HAS COMPLIED WITH THE APPLICABLE PROVISIONS OF THE
LAWS OF THE STATE OF COLORADO AND ON THIS DATE IS IN GOOD
STANDING AND AUTHORIZED AND COMPETENT TO TRANSACT BUSINESS
OR TO CONDUCT ITS AFFAIRS WITHIN THIS STATE.

Dated: July 23, 1999

FILED
99 AUG 11 AM 10:09
SECRETARY OF STATE
TALLAHASSEE FLORIDA

Donetta Davidson

SECRETARY OF STATE