

MOI 0000001137⁵
CUMBERLAND LICENSING CORPORATION
CLC

May 15, 2001

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

100004271651--3
-05/18/01--01102--012
****125.00 ****125.00

RE: WorthMark Financial Services, LLC

Dear Sir or Madam:

We are submitting duplicate copies of application for certificate of authority for the above referenced limited liability company.

Also enclosed are a certificate of good standing, a designation of registered agent form, a return envelope, and our check in the amount of \$125.00

Please contact us directly if you have any questions or if you need additional information.

Sincerely,

M. Egan

Melanie Egan
Licensing Technician

FILED
01 MAY 18 PM 11:19
SEC. OF CORP. & REG.
TALLAHASSEE, FL 32314

mtm
5/22

**APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO
TRANSACTION BUSINESS IN FLORIDA**

*IN COMPLIANCE WITH SECTION 608.503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN
LIMITED LIABILITY COMPANY TO TRANSACTION BUSINESS IN THE STATE OF FLORIDA:*

1. WorthMark Financial Services, LLC
(Name of foreign limited liability company)
2. Delaware 3. 41-1931786
(Jurisdiction under the law of which foreign limited liability company is organized) (FEI number, if applicable)
4. 09/03/1998 5. Perpetual
(Date of Organization) (Duration: Year limited liability company will cease to exist or "perpetual")
6. Upon qualification
(Date first transacted business in Florida. (See sections 608.501, 608.502, and 817.155, F.S.))
7. 400 Robert Street North, St. Paul, MN 55101
(Street address of principal office)

8. If limited liability company is a manager-managed company, check here ☐

9. The usual business addresses of the managing members or managers are as follows:

SEE ATTACHMENT

10. Attached is an original certificate of existence, no more than 90 days old, duly authenticated by the official having custody of records in the jurisdiction under the law of which it is organized. (A photocopy is not acceptable. If the certificate is in a foreign language, a translation of the certificate under oath of the translator must be submitted.)

11. Nature of business or purposes to be conducted or promoted in Florida: _____

To act as a securities/broker-dealer.

✓ Thomas L. Clark

Signature of a member or an authorized representative of a member.
(In accordance with section 608.408(3), F.S., the execution of this document constitutes an affirmation under the penalties of perjury that the facts stated herein are true.)

THOMAS L. CLARK - MEMBER

Typed or printed name of signee

Question #9:

OFFICERS/MEMBERS/DIRECTORS FOR:
WORTHMARK FINANCIAL SERVICES, LLC

NAME	TITLE	BUSINESS ADDRESS
George I. Connolly	Member/President/CEO Director	400 Robert Street North St. Paul, MN 55101
Thomas L. Clark	Member/Vice President, Asst. Secretary, Asst. Treasurer	400 Robert Street North St. Paul, MN 55101
Margaret P. Milosevich	Member/Treasurer	400 Robert Street North St. Paul, MN 55101
H. Geoffrey Peterson	Member/Secretary	400 Robert Street North St. Paul, MN 55101
Timothy E. Wuestenhagen	Member/Asst. Secretary Asst. Treasurer	400 Robert Street North St. Paul, MN 55101
Robert L. Senkler	Member/Director	400 Robert Street North St. Paul, MN 55101
Michael T. Kellett	Member/Director	400 Robert Street North St. Paul, MN 55101
Richard R. McCloskey	Member/Managing Director/Director Owner	4001 MacArthur Blvd., Ste. 300 Newport Beach, CA 92660
Michael R. White	Member/Managing Director/Director Owner	9211 Forest Hill Ave., Suite 202 Richmond, VA 23235
James C. Peterson	Managing Director/Director	400 Robert Street North St. Paul, MN 55101
Donald A. Daucher	Director	550 S. Flower Street, 23 rd Floor Los Angeles, CA 90071-2371
Ascend Financial Services, Inc.	Member/Owner	400 North Robert Street St. Paul, MN 55101

STATE OF MINNESOTA
TALAMON, JEFFREY

01 MAY 18 PM 11:19

FILED

**CERTIFICATE OF DESIGNATION OF
REGISTERED AGENT/REGISTERED OFFICE**

PURSUANT TO THE PROVISIONS OF SECTION 608.415 OR 608.507, FLORIDA STATUTES, THE UNDERSIGNED LIMITED LIABILITY COMPANY SUBMITS THE FOLLOWING STATEMENT TO DESIGNATE A REGISTERED OFFICE AND REGISTERED AGENT IN THE STATE OF FLORIDA.

1. The name of the Limited Liability Company is:

WorthMark Financial Services, LLC

2. The name and the Florida street address of the registered agent and office are:

C T Corporation System

(Name)

c/o C T Corporation System, 1200 South Pine Island Road

Florida street address (P.O. Box **NOT** ACCEPTABLE)

Plantation

FL 33324

City/State/Zip

Having been named as registered agent and to accept service of process for the above stated limited liability company at the place designated in this certificate, 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 relating to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent as provided for in Chapter 608, F.S.

C T Corporation System

By: 

(Signature)

PATRICIA A. CANARIO,
SPECIAL ASSISTANT SECRETARY

\$ 100.00 Filing Fee for Application
\$ 25.00 Designation of Registered Agent
\$ 30.00 Certified Copy (optional)
\$ 5.00 Certificate of Status (optional)

State of Delaware
Office of the Secretary of State

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I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "WORTHMARK FINANCIAL SERVICES, LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE THIRD DAY OF MAY, A.D. 2001.

FILED
01 MAY 18 PM 11:18
SECRETARY OF STATE
DELAWARE



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

2941445 8300

AUTHENTICATION: 1115283

010211717

DATE: 05-03-01