

Filing fee: \$50.00  
License fee: \$15.00 minimum  
(Section 7-1.1-124)

**APPLICATION FOR  
CERTIFICATE OF AUTHORITY  
OF**

RBH Equities, Inc.

To the Secretary of State  
of the State of Rhode Island

Pursuant to the provisions of Section 7-1.1-103 of the General Laws, 1956, as amended, the undersigned corporation hereby applies for a Certificate of Authority to transact business in the State of Rhode Island, and for that purpose submits the following statement:

FIRST: The name of the corporation is RBH EQUITIES, INC.

SECOND: The name which it elects to use in Rhode Island is RBH EQUITIES, INC.

(If the name of the corporation does not contain the word "corporation," "company," "incorporated," or "limited," or an abbreviation of one of such words, insert the name of the corporation with the word or abbreviation which it elects to add thereto for use in Rhode Island;)

THIRD: It is incorporated under the laws of New York

FOURTH: The date of its incorporation is May 2, 1969 and the period of its duration is perpetual

FIFTH: The address of its principal office in the state or country under the laws of which it is incorporated is 605 Third Avenue, New York, New York 10158

SIXTH: The address of its proposed registered office in Rhode Island is 111 Westminster Street, Providence, Rhode Island 02903 and the name of its proposed registered agent in Rhode Island at that address is C T Corporation System

SEVENTH: The purpose or purposes which it proposes to pursue in the transaction of business in Rhode Island are

To conduct business as a Broker/Dealer and to engage in any other lawful activity permitted by the laws of the State of Rhode Island.

**EIGHTH:** The names and respective addresses of its directors and officers are:

<u>Name</u>	<u>Office</u>	<u>Address</u>
See attached	Director	
Exhibit A.	Director	
	Director	
	President	
	Vice President	
	Secretary	
	Treasurer	

**NINTH:** The aggregate number of shares which it has authority to issue, itemized by classes, par value of shares, shares without par value, and series, if any, within a class, is:

<u>Number of Shares</u>	<u>Class</u>	<u>Series</u>	<u>Par Value per Share or Statement that Shares are without Par Value</u>
200	Common	none	Shares are without par value.

**TENTH:** The aggregate number of its issued shares, itemized by classes, par value of shares, shares without par value, and series, if any, within a class, is:

<u>Number of Shares</u>	<u>Class</u>	<u>Series</u>	<u>Par Value per Share or Statement that Shares are without Par Value</u>
100	Common	none	Shares are without par value.

**ELEVENTH:** An estimate of the value of all property to be owned by it for the following year, wherever located, is \$ -0-

**TWELFTH:** An estimate of the value of its property to be located within Rhode Island during such year is \$ -0-

**THIRTEENTH:** An estimate of the gross amount of business to be transacted by it during such year is \$ 61,000.00

**FOURTEENTH:** An estimate of the gross amount of business to be transacted by it at or from places of business in Rhode Island during such year is \$ -0-

**FIFTEENTH:** This Application is accompanied by a copy of its articles of incorporation and all amendments thereto, duly authenticated by the proper officer of the state or country under the laws of which it is incorporated.

Dated October 3, 1984 X

RBH Equities, Inc.  
[Exact Corporate Name of Corporation Making Application]

By X *John R. Pfeiffer*  
Its President  
and X *J. B. Scherley*  
Its Ass't Secretary

STATE OF Illinois  
~~New York~~ } Sc.  
X COUNTY OF Cook

At Chicago, Illinois in said County on the 3rd day  
of October 1984, before me personally appeared John R.  
Pfeiffer, who being by me first duly sworn, declared that  
he is the President of RBH Equities, Inc.,  
that he signed the foregoing document as such President of the  
corporation, and that the statements therein contained are true.

X *Clote Smith*  
Notary Public

(NOTARIAL SEAL) X

✓ 32546

NOV 23 1984

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**Certificate of Incorporation of  
REID & CARR EQUITIES, INC.**

under Section 402 of the Business Corporation Law

IT IS HEREBY CERTIFIED THAT:

(1) The name of the proposed corporation is **REID & CARR EQUITIES, INC.**

(2) The purpose or purposes for which this corporation is formed, are as follows, to wit:

1. To acquire by purchase, subscription, or otherwise, and to hold as investment, any bonds or other securities or evidences of indebtedness, or any shares of capital stock created or issued by any other corporation or corporations, association or associations, of any other state, territory, or country.

2. To purchase, hold, sell, assign, transfer, mortgage, pledge, or otherwise dispose of, any bonds or other securities or evidences of indebted-

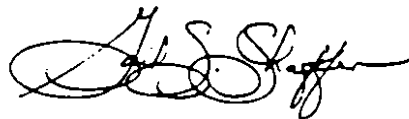
State of New York }  
Department of State }

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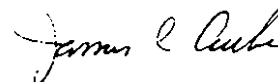
I hereby certify that I have compared the annexed copy with the original document filed by the Department of State and that the same is a correct transcript of said original.

Witness my hand and seal of the Department of State on

OCT 12 1984



Secretary of State



James C. Aubo  
Special Deputy  
Secretary of State