

86684

Filing fee: \$75.00

APPLICATION FOR AMENDED CERTIFICATE OF AUTHORITY OF

GNA Securities, Inc.

To the Secretary of State of the State of Rhode Island

Pursuant to the provisions of Section 7-1.1-111 of the General Laws, 1956, as amended, the undersigned corporation hereby applies for an Amended Certificate of Authority to transact business in Rhode Island, and for that purpose submits the following statement:

FIRST: A Certificate of Authority was issued to the corporation by your office on October 18, 1995, authorizing it to transact business in Rhode Island under the name of GNA Securities, Inc.

SECOND: The corporate name of the corporation has changed to Capital Brokerage Corporation. [If no change, so indicate]

THIRD: The name which it elects to use hereafter in Rhode Island is

FOURTH: It desires to pursue in the transaction of business in Rhode Island other or additional purposes than those set forth in its prior Application for a Certificate of Authority, as follows:

[If no other or additional purposes are proposed, insert "No change."]

No Change

FILED

APR 13 1998

By [Signature]

RECEIVED SECRETARY OF STATE APR 13 3 37 PM '98

FIFTH: Other amendments, if any, to Certificate of Authority previously issued: [sec §§7-1.1-103, 7-1.1-109, 7-1.1-110 of the General Laws, 1956, as amended.] (If increase of authorized capital stock, state:)

no change

Table with 4 columns: Number of Shares, Class, Series, Par Value per Share or Statement that Shares are without Par Value

- (A): An estimate of the value of all property to be owned by it for the following year, wherever located, is \$ 415,000
(B): An estimate of the value of its property to be located within Rhode Island during such year is \$ 0
(C): An estimate of the gross amount of business to be transacted by it during such year is \$ 21,826,512
(D): 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

Dated .. March .. 26 .. , 19 98.

Capital Brokerage Corporation

By Thomas W. Casey
Thomas W. Casey
Its Sr. Vice President
and Shelley M. Sullivan
Shelley M. Sullivan
Its Asst. Secretary

STATE OF Virginia } SC.
COUNTY OF Henrico

At 6604 West Broad Street in said County on the 26th day
of March 1998, before me personally appeared Thomas W. Casey.
& Shelley M. Sullivan, who being by me first duly sworn, declared that he is the
Sr. Vice President & Asst. Secretary of Capital Brokerage Corporation, they are
that he signed the foregoing document as such Sr. Vice President & Asst. Secretary
of the corporation, and that the statements therein contained are true.

Theresa A. Myer
Notary Public

My Commission Expires: 1/31/2001

(NOTARIAL SEAL)

STATE of WASHINGTON



SECRETARY of STATE

I, **RALPH MUNRO**, *Secretary of State of the State of Washington and custodian of its seal,*

hereby issue this certificate that according to records on file in this office,

Articles of Amendment to

GNA SECURITIES, INC.

a Washington corporation, whereby the corporate name is changed to

CAPITAL BROKERAGE CORPORATION

was received and filed by this office on October 31, 1997.



Date: April 10, 1998

*Given under my hand and the Seal of the State
of Washington at Olympia, the State Capital*


RALPH MUNRO

Ralph Munro, Secretary of State