

# State of Idaho

## Department of State

### CERTIFICATE OF AUTHORITY OF

METROPOLITAN WEST SECURITIES, INC.

I, PETE T. CENARRUSA, Secretary of State of the State of Idaho, hereby certify that duplicate originals of an Application of METROPOLITAN WEST SECURITIES, INC. for a Certificate of Authority to transact business in this State, duly signed and verified pursuant to the provisions of the Idaho Business Corporation Act, have been received in this office and are found to conform to law.

ACCORDINGLY and by virtue of the authority vested in me by law, I issue this Certificate of Authority to METROPOLITAN WEST SECURITIES, INC. to transact business in this State under the name METROPOLITAN WEST SECURITIES, INC. and attach hereto a duplicate original of the Application for such Certificate.

Dated: January 19, 1993



*Pete T. Cenarrusa*  
SECRETARY OF STATE

By Valerie Taylor

# APPLICATION FOR CERTIFICATE OF AUTHORITY

(Profit Corporation)

JAN 19 10 34 AM '93  
SECRETARY OF STATE

To the Secretary of State of Idaho

Pursuant to Section 30-1-110, Idaho Code, the undersigned Corporation hereby applies for a Certificate of Authority to transact business in your State, and for that purpose submits the following statement:

1. The name of the corporation is METROPOLITAN WEST SECURITIES, INC.
2. The name which it shall use in Idaho is \_\_\_\_\_  
(To be used only when required to avoid a conflict with a name already on file. Must be accompanied by a Board of Directors resolution adopting assumed name in Idaho.)
3. It is incorporated under the laws of California
4. The date of its incorporation is April 8, 1992 and the period of its duration is perpetual
5. The address of its principal office in the state or country under the laws of which it is incorporated is 707 Wilshire Boulevard, Suite 4700, Los Angeles, CA 90017
6. The address to which correspondence should be addressed, if different from that in item 5. \_\_\_\_\_
7. The street address of its proposed registered office in Idaho is 220 Second Avenue South, Suite 101, Ketchum, ID 83340, and the name of its proposed registered agent in Idaho at that address is Howard Feldman
8. The purpose or purposes which it is proposed to pursue in the transaction of business in Idaho are: Conduct an investment advisory and broker-dealer business.

(Continued on reverse)

Submit application and certificate of status to:

Office of the Secretary of State  
Division of Corporations  
Statehouse, Room 203  
Boise, Idaho 83720

Secretary of State use only

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9. The names and respective addresses of its directors and officers are:

Name	Office	Address
Richard S. Hollander	President, CEO	707 Wilshire Blvd., Suite 4700, L.A., CA 90017
Edward E. Curiel	CFO, Secretary	" " " " " " " "
R. Rick Moos	Exec. V.P. and Marketing Officer	" " " " " " " "
Paul C. Chow	Exec. V.P. Securities Lending	" " " " " " " "

10. The corporation accepts and shall comply with the provisions of the Constitution and the laws of the State of Idaho.

11. This application is accompanied by a Certificate of Corporate Status or Existence, duly authenticated by the proper officer of the state or country under the laws of which it is incorporated.

Dated: January 14, 1993

Metropolitan West Securities, Inc.

(Corporation name)

By

Paul C. Chow  
Its President (please specify)

and

Edward E. Curiel  
Its Secretary/Assistant Secretary (please specify)

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) ss:

I, \_\_\_\_\_, a notary public, do hereby certify that on  
this \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_\_, personally appeared before  
me \_\_\_\_\_, who being by me first duly sworn, declared that (s)he  
is the \_\_\_\_\_ of \_\_\_\_\_

that (s)he signed the foregoing documents as \_\_\_\_\_ of the corporation and that  
the statements therein contained are true.

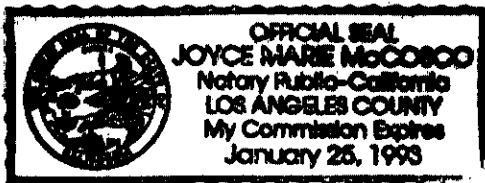
Notary Public

State of CALIFORNIA  
County of LOS ANGELES

On 1/14/93 before me, JOYCE MARIE McCOSCO  
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared PAUL C. CHOW and EDWARD F. CURIEL  
NAME(S) OF SIGNER(S)

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Joyce Marie McCosco  
SIGNATURE OF NOTARY

**OPTIONAL SECTION**

**CAPACITY CLAIMED BY SIGNER**

Though statute does not require the Notary to fill in the data below, doing so may prove invaluable to persons relying on the document.

- ☐ INDIVIDUAL  
☐ CORPORATE OFFICER(S)

TITLE(S)

- ☐ PARTNER(S) ☐ LIMITED  
☐ GENERAL  
☐ ATTORNEY-IN-FACT  
☐ TRUSTEE(S)  
☐ GUARDIAN/CONSERVATOR  
☐ OTHER: \_\_\_\_\_

**SIGNER IS REPRESENTING:**

NAME OF PERSON(S) OR ENTITY(IES)

**OPTIONAL SECTION**

THIS CERTIFICATE MUST BE ATTACHED TO THE DOCUMENT DESCRIBED AT RIGHT:

TITLE OR TYPE OF DOCUMENT Application for Certificate

NUMBER OF PAGES ① DATE OF DOCUMENT 1-14-93

SIGNER(S) OTHER THAN NAMED ABOVE \_\_\_\_\_

Though the data requested here is not required by law, it could prevent fraudulent reattachment of this form.

# State of California

OFFICE OF THE SECRETARY OF STATE

## CERTIFICATE OF STATUS DOMESTIC CORPORATION

I, MARCH FONG EU, *Secretary of State of the State of California*, hereby certify:

That on the 8th day of April, 1992,

METROPOLITAN WEST SECURITIES, INC.

*became incorporated under the laws of the State of California by filing its Articles of Incorporation in this office; and*

*That no record exists in this office of a certificate of dissolution of said corporation nor of a court order declaring dissolution thereof, nor of a merger or consolidation which terminated its existence; and*

*That said corporation's corporate powers, rights and privileges are not suspended on the records of this office; and*

*That according to the records of this office, the said corporation is authorized to exercise all its corporate powers, rights and privileges and is in good legal standing in the State of California; and*

*That no information is available in this office on the financial condition, business activity or practices of this corporation.*

IN WITNESS WHEREOF, I execute this  
certificate and affix the Great Seal  
of the State of California this  
15th day of January, 1993

*March Fong Eu*

*Secretary of State*