



RECEIVED  
 SECRETARY OF STATE  
 BUSINESS SERVICES DIVISION  
 AUG 16 AM 2:04

**Certificate of Authority**  
**FOREIGN Corporation**

→ Filing Fee: \$310.00 minimum

Pursuant to the provisions of RIGL 7-1.2-1405, the undersigned foreign 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:

|  |                           |                     |
|--|---------------------------|---------------------|
| 1. The name of the corporation is:<br>"3" MENTORS, INC.  |                           |                     |
| 2. It is incorporated under the laws of:      Ohio   |                           |                     |
| 3. The name, if different, which it elects to use in Rhode Island is:<br>(a) If the name of the corporation in its jurisdiction of incorporation does not contain the word "corporation", "company", "incorporated", or "limited," or an abbreviation thereof, then list the name of the corporation with the addition of one of the above corporate endings for use in Rhode Island:<br><br>(b) If the corporate name is not available in Rhode Island, then set forth below the fictitious name under which the corporation will qualify and transact business in Rhode Island as stated in the "Fictitious Business Name Statement" to be filed with this application:<br><br><b>3 Mentors, Inc</b> |                           |                     |
| 4. The date of its incorporation is:      03/21/2006   |                           |                     |
| And the period of its duration is: <b>CHECK ONLY ONE BOX</b>   |                           |                     |
| <input checked="" type="checkbox"/> Perpetual (on-going)   |                           |                     |
| <input type="checkbox"/> Date certain for dissolution _____  |                           |                     |
| 5. The address of its principal office is:<br>300 Parkbrooke Place, Suite 200, Woodstock, GA 30189   |                           |                     |
| 6. The name and address of the initial registered agent/office of in Rhode Island:   |                           |                     |
| Agent Name      C T Corporation System   |                           |                     |
| Street Address (NOT a P.O. Box)      450 Veterans Memorial Parkway, Suite 7A   |                           |                     |
| City/Town      East Providence   | State <b>RHODE ISLAND</b> | Zip Code      02914 |

RECEIVED  
 SECRETARY OF STATE  
 BUSINESS SERVICES DIVISION  
 AUG 18 PM 2:15

**MAIL TO:**  
**Division of Business Services**  
 148 W. River Street, Providence, Rhode Island 02904-2615  
 Phone: (401) 222-3040  
 Website: www.sos.ri.gov

**FILED**

AUG 18 2016

FORM 150 - Revised: 05/2016

2:15

By: 281661

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

Marketing and selling of financial planning services and products.

8. (a) The names and respective addresses of its directors (optional, unless directors are required under the laws of the state or country of which it is incorporated):

| NAME | ADDRESS |
|------|---------|
|      |         |
|      |         |
|      |         |
|      |         |

Check the box to indicate an attachment.

8. (b) The names and respective addresses of its principal officers (mandatory if directors are not required under the laws of the state or country of which it is incorporated):

| OFFICE         | NAME | ADDRESS |
|----------------|------|---------|
| PRESIDENT      |      |         |
| VICE PRESIDENT |      |         |
| TREASURER      |      |         |
| SECRETARY      |      |         |

Check the box to indicate an attachment.

9. 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:

| NUMBER OF SHARES | CLASS  | SERIES | PAR VALUE OR STATE NO PAR VALUE |
|------------------|--------|--------|---------------------------------|
| 750              | Common |        | No par value                    |
|                  |        |        |                                 |
|                  |        |        |                                 |
|                  |        |        |                                 |

10. (a) Estimate, in dollars, the value of all property to be owned by the corporation for the following year, wherever located:

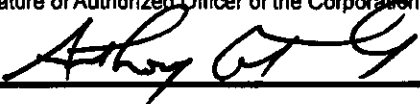
\$ 13,640.09

(b) Estimate, in dollars, the value of the corporation's property to be located within Rhode Island during the following year:

\$ 0

(c) Estimate, as a percentage, the proportion that the estimated value of the property of the corporation to be located within this state during the following year bears to the value of all property of the corporation to be owned during the following year, wherever located. Note: Divide (10b) by (10a) and multiply by 100 to obtain the percentage.

0 %

|   |   |
|---|---|
| 11. (a) Estimate, in dollars, the gross amount of business to be transacted by the corporation during the following year.<br><br><div style="text-align: center;">\$ <u>2,733,500.00</u></div>  | (b) Estimate, in dollars, the gross amount of business to be transacted by the corporation at or from places of business in Rhode Island during the following year.<br><br><div style="text-align: center;">\$ <u>0</u></div> |
| (c) Estimate, as a percentage, the proportion of the gross amount of business to be transacted by the corporation at or from places of business in Rhode Island during the following year compared to the gross amount thereof which will be transacted by the corporation during the following year. <i>Note: Divide (11b) by (11a) and multiply by 100 to obtain the percentage.</i><br><br><div style="text-align: center;"><u>0</u> %</div> |   |
| 12. This application must be accompanied by a Certificate of Good Standing/Letter of Status issued by the proper officer of the state or country under the laws of which it is incorporated that is dated within 60 days of the filing of this document.  |   |
| 13. Date when the Certificate of Authority will be effective: <b>CHECK ONLY ONE BOX</b>   |   |
| <input checked="" type="checkbox"/> Date received (Upon filing)   |   |
| <input type="checkbox"/> Later effective date (Date must be no more than 90 days from the day of filing) _____  |   |
| <i>Under penalty of perjury, I declare and affirm that I have examined this Application for Certificate of Authority, including any accompanying attachments, and that all statements contained herein are true and correct.</i>  |   |
| Type or Print Name of Authorized Officer<br>Anthony G. Thomas, Vice President   | Date<br>8/16/2016   |
| Signature of Authorized Officer of the Corporation<br>   |   |

If you have any questions, please call us at (401) 222-3040, Monday through Friday, between 8:30 a.m. and 4:30 p.m., or email [corporations@sos.ri.gov](mailto:corporations@sos.ri.gov).

FORM 150 - Revised: 05/2016

| <b>NAME</b>               | <b>TITLE</b>   | <b>ADDRESS</b>                                       |
|---------------------------|--|--|
| Brian B. Peterson         | Chief Executive Officer and Chief Manager            | 5701 Golden Hills Drive, Minneapolis, MN 55416       |
| Steven Bates              | President  | 300 Parkbrooke Place, Suite 200, Woodstock, GA 30189 |
| Christopher E.F. Chambs   | Chief Financial Officer, Treasurer and Secretary     | 5701 Golden Hills Drive, Minneapolis, MN 55416       |
| John Zaloom               | Vice President, Controller and Assistant Secretary   | 300 Parkbrooke Place, Suite 200, Woodstock, GA 30189 |
| Anthony G. Thomas         | Vice President                                       | 5701 Golden Hills Drive, Minneapolis, MN 55416       |
| Tracy M. Haddy            | Assistant Secretary                                  | 5701 Golden Hills Drive, Minneapolis, MN 55416       |
| <b>BOARD OF DIRECTORS</b> | <b>ADDRESS</b>                                       |  |
| Brian B. Peterson         | 5701 Golden Hills Drive, Minneapolis, MN 55416       |  |
| Anthony G. Thomas         | 5701 Golden Hills Drive, Minneapolis, MN 55416       |  |
| Steven Bates              | 300 Parkbrooke Place, Suite 200, Woodstock, GA 30189 |  |

UNITED STATES OF AMERICA  
STATE OF OHIO  
OFFICE OF THE SECRETARY OF STATE

*I, Jon Husted, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show "3" MENTORS, INC., an Ohio corporation, Charter No. 1609363, having its principal location in Sidney, County of Shelby, was incorporated on March 21, 2006 and is currently in GOOD STANDING upon the records of this office.*

RECEIVED  
SECRETARY OF STATE  
CORPORATIONS DIV  
2016 AUG 16 PM 2:04



*Witness my hand and the seal of the Secretary of State at Columbus, Ohio this 8th day of August, A.D. 2016.*

*Jon Husted*

Ohio Secretary of State

Validation Number: 201622102832



State of Rhode Island and Providence Plantations  
**Department of State | Office of the Secretary of State**  
**Nellie M. Gorbea**, *Secretary of State*

I, NELLIE M. GORBEA, Secretary of State of the State of Rhode Island  
and Providence Plantations, hereby certify that this document, duly executed in  
accordance with the provisions of Title 7 of the General Laws of Rhode Island, as  
amended, has been filed in this office on this day:

A handwritten signature in blue ink, appearing to read "Nellie M. Gorbea". The signature is fluid and cursive, written in a professional style.

Nellie M. Gorbea  
*Secretary of State*

