



State of Rhode Island
and Providence Plantations
Office of the Secretary of State

A. Ralph Molits, Secretary of State
Corporations Division
148 W. River Street
Providence, RI 02904-2615
401 222 3030

PROFIT CORPORATION ANNUAL REPORT FOR THE YEAR 2009

Filing Period: January 1 - March 1 • Filing Fee: \$50.00 • THIS REPORT MUST BE TYPED OR PRINTED LEGIBLY IN BLACK INK.

* In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c)(d)) is subject to a penalty fee of \$25.00.

1. Corporation ID No. 487306		2. Name of Corporation J.P. MORGAN SECURITIES INC.			
3. Street Address Principal Business Office 383 Madison Avenue		City New York	State NY	Zip 10179	
4. Business Phone No. 212-272-8211		5. State of Incorporation Delaware			
6. Brief Description of the Character of Business Conducted in Rhode Island Securities Brokerage					
7. NAMES AND ADDRESSES OF THE OFFICERS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
President Name Carlos M. Hernandez		Vice President Name Christine N. Bannerman - Assistant Secretary			
Street Address 383 Madison Avenue		Street Address 4 Chase Metrotech Center			
City New York	State NY	Zip 10179	City Brooklyn	State NY	Zip 11245
Secretary Name Anthony J. Horan		Treasurer Name Lisa J. Fitzgerald			
Street Address 270 Park Avenue		Street Address 270 Park Avenue			
City New York	State NY	Zip 10017	City New York	State NY	Zip 10017
8. NAMES AND ADDRESSES OF THE DIRECTORS: ("X" BOX FOR ATTACHMENT) ☐ FILL IN SPACES BEFORE USING ATTACHMENTS					
Director Name Carlos M. Hernandez		Director Name Jeffrey C. Bernstein			
Street Address 383 Madison Avenue		Street Address One Metrotech Center			
City New York	State NY	Zip 10179	City Brooklyn	State NY	Zip 11201
Director Name		Director Name			
Street Address		Street Address			
City	State	Zip	City	State	Zip
9. SHARES AUTHORIZED					10. SHARES ISSUED ("X" BOX FOR ATTACHMENT) ☐
This information is currently of record in the Office of the Secretary of State. Changes require an additional filing. See Section 9 of instruction sheet.					ISSUED SHARES — THIS SECTION MUST BE COMPLETED
					Number of Shares 1000

This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

File Date _____
Check No. _____
By: _____
FOR SECRETARY OF STATE USE ONLY

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Under penalty of perjury, I declare and affirm that I have examined this report including any accompanying schedules and statements, and that all statements contained herein are true and correct.

Signature Christine N. Bannerman Date March 20, 2009
Christine N. Bannerman
Print or Type Name
Assistant Secretary
Title

Form 630 Rev. 2008

FILED

MAR 27 2009

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