



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

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Limited Liability Company  
Annual Report**

*Filing Period: September 1 - November 1*

*In accordance with R.I.G.L. 7-16-66(d), each limited liability company failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-16-66(b&c)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2018

**1. ID No.** 001670165

**2. Exact Name of the Limited Liability Company** BARINGS LLC

**3. State of Formation**

State: DE

**ARTICLE III**

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523930

**4. Brief Description of the Character of the Business Which is Actually Conducted in Rhode Island**

BARINGS LLC, KNOWN AS BARINGS, IS AN INTERNATIONAL INVESTMENT  
MANAGEMENT FIRM.

**5. Principal Office Address**

No. and Street: 300 SOUTH TRYON, SUITE 2500

City or Town: CHARLOTTE

State: NC Zip: 28202 Country: USA

**6. Mailing Address of Limited Liability Company and Name or Title of Contact Person:**

Contact Name: TONYA SMITH Contact Title: AUTHORIZED PERSON

No. and Street: 300 SOUTH TRYON, SUITE 2500

City or Town: CHARLOTTE

State: NC Zip: 28202 Country: USA

**7. Name and Address of Each Manager of the Limited Liability Company, if Applicable.  
DO NOT LIST MEMBERS**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	THOMAS M. FINKE	300 SOUTH TRYON, SUITE 2500 CHARLOTTE, NC 28202 USA

MANAGER	WILLIAM F. GALVIN JR.	1 MARINA DRIVE, SUITE 800 BOSTON, MA 02210 USA
MANAGER	M. TIMOTHY CORBETT	1295 STATE STREET SPRINGFIELD, MA 01111 USA
MANAGER	ELIZABETH A. WARD	1295 STATE STREET SPRINGFIELD, MA 01111 USA
MANAGER	ROGER W. CRANDALL	1295 STATE STREET SPRINGFIELD, MA 01111 USA
MANAGER	GEOFFREY J. CRADDOCK	1295 STATE STREET SPRINGFIELD, MA 01111 USA

**8. RESIDENT AGENT IN RHODE ISLAND - DO NOT ALTER  
Changes Require Filing of Form 642 - R.I.G.L. 7-16-11**

CT CORPORATION SYSTEM 450 VETERANS MEMORIAL PARKWAY, SUITE 7A EAST  
PROVIDENCE , RI 02914

**9. This report must be executed by an authorized person pursuant to R.I.G.L. 7-16-66 (b).**

**Signed this 23 Day of August, 2018 at 5:26:29 PM by the authorized person.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.*

By TONYA SMITH  
Signature of Authorized Person

Form No. 632  
Revised 09/07