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Filing Fee: \$150.00

ID Number: 230731260



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Office of the Secretary of State
Corporations Division
100 North Main Street
Providence, Rhode Island 02903-1335

LIMITED LIABILITY COMPANY

APPLICATION FOR REGISTRATION
(To Be Filed In Duplicate)

Pursuant to the provisions of Section 7-16-49 of the General Laws, 1956, as amended, the undersigned foreign limited liability company hereby applies for a Certificate of Registration to transact business in the state of Rhode Island, and for that purpose submits the following statement:

1. The name of the limited liability company is:

Janney Montgomery Scott LLC

2. The name, if different, under which it proposes to register and transact business in Rhode Island is:

N/A

3. The limited liability company is organized under the laws of Delaware

4. The date of its organization is August 27, 1999

5. The period of duration of the limited liability company is (if perpetual, so state) Perpetual

6. The address of the limited liability company's resident agent in Rhode Island is:

~~123 Dyer Street~~ 10 Weyford St

(Street Address, not P.O. Box)

Providence

(City/Town)

RI

02903

(Zip Code)

and the name of the resident agent at such address is CT Corporation System

(Name of Agent)

7. The secretary of state is appointed the agent of the foreign limited liability company for service of process if at any time there is no resident agent or if the resident agent cannot be found or served following the exercise of reasonable diligence.

8. The address of any office required to be maintained in the state or other jurisdiction under the laws of which the limited liability company is organized is:

N/A

9. The mailing address for the limited liability company is:

1801 Market Street, Philadelphia, Pennsylvania 19103

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By

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10. The limited liability company is to be managed by:

(Check one box only)

☐ its members or ☒ by one (1) or more managers

11. If the limited liability company has managers at the time of filing this application, please list the name and address of each manager:

<u>Manager</u>	<u>Address</u>
<u>See attached schedule</u>	

12. This application is accompanied by a certificate of good standing duly authenticated by the secretary of state or other authorized officer of the jurisdiction under which the foreign limited liability company was organized.

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

Date: 8/27/99

Janney Montgomery Scott LLC

Print Exact Name of Limited Liability Company Making Application

By

James W. Wolitarsky
Signature of authorized person
James W. Wolitarsky
Senior Vice President and Chief Financial Officer

August 1999

<u>OFFICERS NAME AND TITLE</u>	<u>RESIDENCE ADDRESS</u>	<u>BUSINESS ADDRESS</u>	<u>SOCIAL SECURITY #</u>
Rudolph Charles Sanders Chairman of the Board & Chairman of the Executive Committee (Board of Managers & Executive Committee)	505 Oriole Lane Villanova, PA 19085	1801 Market Street Philadelphia, PA 19103	201-22-8687
Charles Beckwith Cook, Jr. Vice Chairman, Board of Managers (Board of Managers)	RFD #1 - Box 187 Center Harbor, NH 03226	26 Broadway New York, NY 10004	042-24-4729
Norman Taylor Wilde, Jr. President & Manager (Board of Managers & Executive Committee)	306 Wood Spring Road Gwynedd Valley, PA 19437	1801 Market Street Philadelphia, PA 19103	154-022-0012
Ronald Michael Berardino Executive Vice President & Manager (Board of Managers)	27 Homestead Avenue Garden City Long Island, NY 11530	26 Broadway New York, NY 10004	100-30-4385
David John Cunningham Senior Vice President & Secretary & Manager	519 Andover Road Wilmington, DE 19803	1801 Market Street Philadelphia, PA 19103	195-36-9076
John Joseph Gray Executive Vice President & Manager (Board of Managers & Executive Committee)	612 Creek Lane Flourtown, PA 19031	1801 Market Street Philadelphia, PA 19103	167-30-3525
James William Wolitarsky Senior Vice President & Treasurer & Manager (Board of Managers & Executive Committee)	438 Inveraray Villanova, PA 19085	1801 Market Street Philadelphia, PA 19103	100-34-8318

<u>OFFICERS NAME AND TITLE</u>	<u>RESIDENCE ADDRESS</u>	<u>BUSINESS ADDRESS</u>	<u>SOCIAL SECURITY #</u>
William Rea Brandreth, Sr. Senior Vice President & Manager (Board of Managers)	1098 Greentree Road Blue Bell, PA 19422	1801 Market Street Philadelphia, PA 19103	182-26-1810
George Thomas Croonquist Senior Vice President & Manager (Board of Managers)	569 Summit Avenue Hackensack, NJ 07601	505 Main Street Hackensack, NJ	141-24-9321
Ashton Goodliff Eldredge, Jr. Senior Vice President & Manager (Board of Managers & Executive Committee)	4 Welwyn Road Wayne, PA 19087	1801 Market Street Philadelphia, PA 19103	052-32-2335
Michael C. Foley Senior Vice President & Manager (Board of Managers)	6 Wingate Court Flourtown, PA 19031	1801 Market Street Philadelphia, PA 19103	209-32-9246
James Maurice Meyer Senior Vice President & Manager (Board of Managers)	1414 Cloverly Lane Rydal, PA 19046	1801 Market Street Philadelphia, PA 19103	081-38-4818
Richard Allen Purkiss Senior Vice President & Manager (Board of Managers & Executive Committee)	143 Beaumont Road Devon, PA 19333	1801 Market Street Philadelphia, PA 19103	099-32-6830
Alan Miller Schankel Senior Vice President & Manager (Board of Managers & Executive Committee)	7615 Cherokee Street Philadelphia, PA 19118	1801 Market Street Philadelphia, PA 19103	194-38-2691

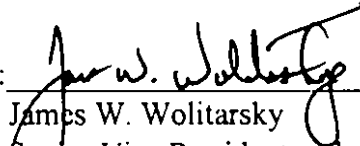
<u>OFFICERS NAME AND TITLE</u>	<u>RESIDENCE ADDRESS</u>	<u>BUSINESS ADDRESS</u>	<u>SOCIAL SECURITY #</u>
Charles J. Sullivan Senior Vice President & Manager (Board of Managers)	606 Overlook Drive Riverton, NJ 08077	1801 Market Street Philadelphia, PA 19103	047-32-5716
Nancy Brodie Manager (Board of Managers)	1536 Naudain Street Philadelphia, PA 19146	Independence Square Philadelphia, PA 19172	283-52-5575
Robert E. Chappell Manager (Board of Managers & Executive Committee)	198 Blacksmith Road Oley, PA 19547	Independence Square Philadelphia, PA 19172	200-34-3660

CONSENT TO USE OF NAME

Janney Montgomery Scott Inc., a corporation organized under the laws of the State of Delaware, hereby consents to the organization-qualification of Janney Montgomery Scott LLC, in the State of Rhode Island.

IN WITNESS WHEREOF, the said, Janney Montgomery Scott Inc. has caused this consent to be executed by its Senior Vice President and Chief Financial Officer and attested under its corporate seal by its Secretary, this 27th day of August, 1999.

Janney Montgomery Scott Inc.

By: 
James W. Wolitarsky
Senior Vice President and
Chief Financial Officer

Attest:


David J. Cunningham
Secretary

(SEAL)

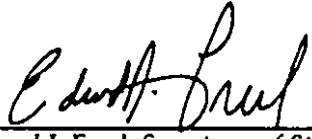
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CORPORATIONS DIV.

Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE DO HEREBY CERTIFY THAT THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF CONVERSION OF A DELAWARE CORPORATION TO A DELAWARE LIMITED LIABILITY COMPANY OF "JANNEY MONTGOMERY SCOTT INC.", CHANGING ITS NAME FROM "JANNEY MONTGOMERY SCOTT INC." TO "JANNEY MONTGOMERY SCOTT LLC" FILED IN THIS OFFICE ON THE TWENTY-SEVENTH DAY OF AUGUST, A.D. 1999, AT 1:30 O'CLOCK P.M.




Edward J. Freel, Secretary of State

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AUTHENTICATION:

9954119

DATE:

09-03-99