

Filing and License Fee: \$310.00 minimum

ID Number: 159855



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Office of the Secretary of State
Corporations Division
148 W. River Street
Providence, Rhode Island 02904-2615

FILED

NOV 08 2006

By ade
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SECRETARY OF STATE
CORPORATIONS DIV
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BUSINESS CORPORATION

APPLICATION FOR CERTIFICATE OF AUTHORITY

Pursuant to the provisions of Section 7-1.2-1405 of the General Laws of Rhode Island, 1956, as amended, 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 AllianceBernstein Investments, Inc.

2. It is incorporated under the laws of Delaware

3. The name, if different, which it elects to use in Rhode Island is:

(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:

(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:

4. The date of its incorporation is January 15, 1983 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 1209 Orange street, Wilmington, DE 19801

6. The address of its proposed registered office in Rhode Island is 10 Weybosset Street
(Street Address, not P.O. Box)

Providence, RI 02903 and the name of its proposed registered agent in Rhode Island at
(City/Town) (Zip Code)

that address is CT Corporation System
(Name of Agent)

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

To engage as broker-dealer distributing shares of mutual funds and variable contracts, and to engage in any acts or activities of that of an insurance agent.

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).

| | <u>Name</u> | <u>Address</u> |
|----------|--------------------------|--|
| Director | <u>Ranjani Nagaswami</u> | <u>1345 Avenue of the Americas, NY, NY 10105</u> |
| Director | <u>Richard Davies</u> | <u>1345 Avenue of the Americas, NY, NY 10105</u> |
| Director | <u>Kurt Schnoknecht</u> | <u>1345 Avenue of the Americas, NY, NY 10105</u> |
| Director | <u>mark mayer</u> | <u>1345 Avenue of the Americas, NY, NY 10105</u> |

(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).

| | <u>Name</u> | <u>Address</u> |
|----------------|-----------------|---|
| President | Frederic Bloch | 1345 Avenue of the Americas, NY, NY 10105 |
| Vice President | Stephen Scanlon | 1345 Avenue of the Americas, NY, NY 10105 |
| Treasurer | Patrick Ryan | 1345 Avenue of the Americas, NY, NY 10105 |
| Secretary | Mark Manley | 1345 Avenue of the Americas, NY, NY 10105 |

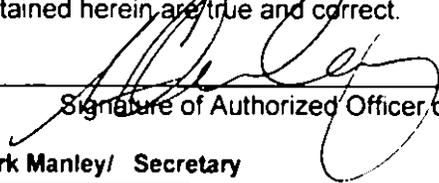
9. The aggregate number of shares which it has authority to issue, itemized by classes, par value of shares, shares without par value, and series, if any, within a class, is:

| <u>Number of Shares</u> | <u>Class</u> | <u>Series</u> | <u>Par Value or Statement that Shares are without Par Value</u> |
|-------------------------|--------------|---------------|---|
| 1,000 | Common | | .10 |
| | | | |
| | | | |

10. (a) An estimate of the value of all property to be owned by the corporation for the following year, wherever located, is \$746,841,000.00.
- (b) An estimate of the value of the corporation's property to be located within Rhode Island during the following year is \$ -.
- (c) An estimate, expressed as a percentage, of 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, is -%. [divide (b) by (a) and multiply by 100 to obtain the percentage].
11. (a) An estimate of the gross amount of business to be transacted by the corporation during the following year is \$4.0 BILLION.
- (b) An estimate 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 is \$ 0.
- (c) An estimate, expressed as a percentage, of the proportion that the gross amount of business to be transacted by the corporation at or from places of business in this state during the following year bears to the gross amount thereof which will be transacted by the corporation during the following year is 0% [divide (b) by (a) and multiply by 100 to obtain the percentage].
12. This application is accompanied by a certificate of Good Standing issued by the proper officer of the state or country under the laws of which it is incorporated.
13. This Application for Certificate of Authority shall be effective upon filing unless a specified date is provided which shall be no later than the 90th day after the date of this filing _____

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.

Date: 10/25/06



 Signature of Authorized Officer of the Corporation
Mark Manley/ Secretary

 Type or Print Name of Authorized Officer

Delaware

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The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "ALLIANCEBERNSTEIN INVESTMENTS, INC." IS DULY INCORPORATED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL CORPORATE EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE TWENTIETH DAY OF OCTOBER, A.D. 2006.



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Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 5134406

DATE: 10-20-06